

**STRATEGIC PLANNING :
LOCAL EDUCATION AUTHORITIES
and PRIMARY SCHOOL DEVELOPMENT**

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ABSTRACT

Many changes were taking place in schools and local government while this thesis was being developed during 1992 and 1993. An historical perspective of the impact of legislation on education is followed by a description of the emergence of school development planning. The literature on school effectiveness and improvement, together with that on inspection and advice, are the contexts for consideration of change and quality in schools.

Data from every LEA in the UK is linked with interview data from a sample of LEAs with schools engaged in an ESRC-funded research project. Additional information from national education offices and from other research carried out during the same period is used to triangulate perceptions.

Insights from this range of data are then presented in two sections: the implications for LEAs and schools are explored and characteristics identified. The evidence indicates that the strategic role of LEAs has been significant in the introduction of primary school development planning. The implementation of policies that have been mandated by central government since 1988 have increasingly depended on schools' ability to prioritise within their own planning.

The impact of these policies on the performance, accountability and strategic capacity of community services is considered. Particular consideration is given to collaboration between services, the power shift away from elected members of LEAs towards school governors, and the scope for effective leadership in education. The implications for the deployment of resources and re-orientation of responsibilities throughout the education service and teaching profession are far-reaching.

Conclusions about the appropriateness of networking, of competition, and of new patterns of bureaucracy vary in different parts of the UK. In the wake of recent legislation affecting education and local government, a new initiative is needed to revitalise strategic systemic planning and inter-school collaboration.

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CONTENTS

An expanded table of contents follows on the next page.

<i>Section</i>	<i>Theme</i>	<i>Chapters</i>	<i>Page</i>
Preface			i
1	Background and Literature	1 - 5	1
2	Survey Data	6 - 9	64
3	Implications for LEAs	10 - 12	145
4	Implications for Schools	13 - 14	213
5	Conclusions	15 - 16	241
Appendices		A - F	264

<i>Preface</i>	<i>page</i>
Abstract	ii
Acknowledgements	iii
Contents	iv
Expanded table of contents	v
Appendices	viii
Preamble	ix

Section 1 : BACKGROUND AND LITERATURE
--

Chapter 1.	Introduction	1
Chapter 2.	The history of LEAs	5
	The impact of legislation on the provision of education : 1832 p 6; 1870 p 8; 1918 p 11; 1944 p 12; 1960s p13; 1974 p 14; 1988 p 16.	
Chapter 3.	The emergence of school development planning	18
	1944 - 1970 p 18; Context of 1970s p 19; Whole school review and development p 23; Impact of 1988 Act on school development planning p 33	
Chapter 4.	School effectiveness, improvement and performance indicators	39
	1977 - 1982 p 40; 1983 - 1987 p 42; 1988 - 1992 p 45; Performance indicators at school level p 48; Products and processes p 53; Conclusion p 54	
Chapter 5.	Change in schools : emphases in improving quality	57
	The language of change p 57; Total quality management p 59; Underlying questions p 61; Conclusions p 62	

Section 2 : SURVEY DATA

Chapter 6. National Survey : LEA support of primary school development planning 64

Aim and methodology p 64;
Distribution of schools and LEAs p 67
England, Wales and the Isles p 71; Wales p 91;
Scotland p 99; Northern Ireland p 112

Chapter 7. Sample of LEAs studied in the ESRC project 115

Context p 115; Background p 116; Current practice p 117;
Formulating the plan p 118; Implementing the plan p 121;
Monitoring progress and evaluating the planning process p 123;
Comments from LEA link-people p 126; Conclusions p 127.

Chapter 8. Links with Birmingham survey of LMS 128

Context of LMS p 128; Birmingham survey p 130; Policy p 131;
Guidelines p 132; Practice p 135; Preparation of the plan 136;
Helpfulness of the plan p 139; Conclusions p 140

Chapter 9 Distinguishing between the LEAs 142

A typology of LEA involvement drawn from the surveys p 142

Section 3 : IMPLICATIONS FOR LEAs

Chapter 10. The role of LEAs in supporting strategic planning in primary schools 145

Initial Hypotheses :

- 1.Planning now integral in schools p 149;
 - 2.Shared responsibility of headteacher p 160;
 - 3.Significant role of LEA p 166;
 - 4.Potential for further development p 171;
- Approaches to planning p 176; Conclusions p 172

Chapter 11. LEA contexts and characteristics 180

The current context for LEAs p 180;
Indicators of systemic performance p 186;
Characteristics of effective LEAs p 190;
Retaining effective characteristics in future support services p 197;
Conclusions p 200

Chapter 12. Towards a new praxis in community services 201

General overview p 201;
Common elements : accountability, protection and care p 202
Comparing trends in education & police services p 204;
Aims for education as one of the community services p 206;
Conclusions p 211.

Section 4 : IMPLICATIONS FOR SCHOOLS

Chapter 13. Governors and school development planning 213

Historical context p 213; Governor training and support p 217;
The broadening role p 218; Evidence from the case studies p 220;
Using a range of experience p 223
Expertise and responsibilities p 224;
A strategic approach to governor development p 229;
Conclusions p 230

Chapter 14. Strategic leadership in schools 233

Education and other sectors of the economy p 233
Towards a development culture p 235
Building a reputation p 236;
Leadership, bureaucratisation and the management of change p 238
Conclusion p 240

Section 5 : CONCLUSIONS

Chapter 15. Conclusions : synthesis and perception 241

General considerations p 241;
The quality of the evidence p 242;
LEA approaches to supporting school development planning p 243;
Monitoring the outcomes of planning p 245;
LEA perceptions of their roles p 245;
LEAs and grant maintained status p 247;
LEAs and central government p 252;
Alternative structures p 254;
Conclusions p 255.

Chapter 16. Horizons. 259

APPENDICES

A	References	264
	1. Author / title of publication	p 264
	2. Author / page number in thesis	p 284
B	LEA survey : summary statistics	287
C	LEA materials received	302
D	LEA survey : national enquiry form	304
E	Interview schedule used with sample LEAs	311
F	Background Paper describing the project, published in “Unicorn” the Journal of the Australian College of Education, June 1992. Contributed to the project and edited by the team	319

PREAMBLE

Author's background

For the last two years I have been associated with the ESRC research project considering "The Impact of School Development Planning in Primary Schools", directed by Professor Peter Mortimore and Barbara MacGilchrist at the Institute of Education in London. This project is due to be completed in June 1994, and the outcomes will be published early in 1995. My role in the team has been to consider the relationship between the LEA context of the project schools and evidence from every other authority in the UK. It would be inappropriate at this stage in the project to include conclusions based on research in the schools, as the longitudinal study is still in progress.

Before joining the research project I was Principal Inspector in Cambridgeshire, a medium-sized county which then had about 6500 teachers and 100,000 children in 340 schools and colleges. This role involved being a member of the LEA's management team. An interest in staff development and leadership had developed from involvement with in-service education and curriculum development in primary, special, secondary and tertiary sectors.

Each of the 32 inspectors in the team also had links with particular schools, which we found to be of mutual benefit. For example, I had particular links with an urban sixth form college, an 11-16 comprehensive village college, its linked primary schools, and a special school for SSN children. As "critical friends" inspectors were able to link schools with specialist advisers, inspectors or other officers when needed. My interest in the impact that various headteachers had on encouraging staff and governors to maintain and develop their schools was enhanced by this contact.

The daily issues faced in each school helped to provide a general perspective for each specialist inspector which encouraged a practical approach. Some county inspection activities considered a whole establishment in detail, but increasingly exercises were focussed either on a theme across several schools, such as the use of staff development days, or on the management of particular schools. Inspectorate reports were linked into policy committees of elected members and strategic planning of resources by the LEA.

The focus on the whole school contrasted with my previous advisory work in humanities and in-service education with groups in and across schools. That had also grown from the more individual orientation of curriculum and professional development when I was leading the Cambridge Curriculum Development Centre in the early 1970s. Links between schools, teachers' centres and higher education had focussed more sharply on teaching and learning, and less on organisational development. I valued my involvement with several Schools Council projects and committees for the wider perspective that this provided across a range of content and styles of development. Subsequent involvement in the professional committees of four higher education establishments and two regional co-ordinating committees also gave a wider perspective than was possible within any one organisation.

My interest in the potential of strategic planning began when I was Head of History in a reorganised and rapidly growing comprehensive in the late 1960s. The range of curriculum and organisational choices were considerable, but knowledge about school effectiveness and improvement was sparse. My concern in this thesis has been to weave together some of the subsequent developments and to consider the value of a holistic approach.

General context

The timing of the research may prove in retrospect to have coincided with a turning point for the national structure of education in the United Kingdom. In 1992 and 1993 LEAs were in the middle of radical changes, and internal planning was becoming increasingly difficult. Functions and strengths that had been gradually refined and built up were in the process of being aborted or fundamentally modified as a consequence of legislation and declining resources. LEAs were struggling to maintain staff morale whilst whole areas of function, such as inspection and advice, were being privatised. Other functions, such as community education, were having to shrink while seeking alternative sources of funding which were scarce during a general recession. Individuals who had devoted their professional lives to the public service were being redeployed, where there was scope in a rapidly contracting environment, or being encouraged to retire early. In such a context it might be expected that an enquiry about an LEA function that involved helping schools to adjust to a different approach might be rejected. The extent of the response and the wealth of data submitted is an indicator of the quality of many LEA officers and inspectors who, often unobtrusively, serve the interests of pupils and teachers in their areas.

Chapter 1

INTRODUCTION

Strategic planning

The aims of organisations vary over a wide spectrum. Some are concerned with the production, transportation and marketing of goods, others with the provision of a range of services. The size of organisations also ranges from one or two individuals working together to global conglomerates involving many thousands of people. Yet they share some characteristics that are so obvious that they tend to be taken for granted. One of these is the relation between their function and their sense of purpose. Organisations that are clear about their aims are more likely to be clear about how such aims will be achieved. (cp Harvey-Jones 1988 ch 2)

Where aims relate to easily quantifiable factors, such as relating profits and production targets to specific periods of time, organisations usually express their planning so that they can monitor success or failure with reference to anticipated norms or criteria. Organisations which are concerned with the care or development of people have been reluctant until relatively recently to accept quantification of such aims. The advent of the calculator and the micro-computer has revolutionised the ability of individuals and organisations to quantify. Since these tools have become widely available, it has become more cost effective to create and handle quantifiable data. Technological advances have accelerated a cultural shift in attitude towards quantification that has spread to seeking ways of measuring qualitative aspects, such as values, and linking such approaches with organisational planning.

Pressure on the one hand to define aims more clearly has been complemented by this capacity to handle statistics rapidly, and part of the result has been to focus attention on the sandwich in between. In military terms, the planning process between the policies that indicate overall directions and the tactics that describe specific operations is referred to as “strategic”. For example, Montgomery’s definition was that “strategy is the art of the conduct of war, tactics are the art of fighting.” (1968, p.14)

Strategic planning is arguably at its best when it has become an integral part of the way in which an organisation or an individual operates. Such planning can become burdensome in rapidly changing contexts when desired outcomes are being modified continually. Some people find situations in which significant elements cannot be anticipated deeply disturbing and anarchic. Yet the psychology of strategic planning in organisations is subtly different from the needs of individuals for degrees of security and predictability. There is a broader cluster of factors including accountability to some and responsibility for others that make it more important to plan for organisational achievement.

Well-educated professionals exercising their skills in small organisations tend to be confident in their ability to achieve their aims and to communicate effectively with each other. They may even feel denigrated by the suggestion that their performance can be improved by certain deliberate actions. Headteachers in primary schools are increasingly recognising that school development planning can lead to school improvement and increased effectiveness.

This hypothesis is being tested by the ESRC project on “The Impact of School Development Planning in Primary Schools”, with which I have been associated for two years. The aims of the project are to carry out an empirical investigation intended to contribute to knowledge from detailed description; to contribute to the formulation of theory; to identify good practice; and to disseminate outcomes to policy-makers and practitioners. It is a systematic investigation which recognises the multiple levels of decision-making and actions of schools.

Research questions

The purpose of this thesis is to complement the work of that project by focussing on four questions :

- ~ What is the context in which schools and LEAs are working?
- ~ What has been the LEAs' role in school development planning?
- ~ Does other evidence substantiate claims by LEA officers?
- ~ What are the implications for LEAs and schools?

Content

The initial theme is planning for development in primary schools, which involves considering concepts such as effectiveness and improvement. The capacity of LEAs to provide supportive and strategic services has changed radically during the course of this research, so the second theme concerns links between policy and its implementation. The third theme is about accountability and the importance of a strategic approach to monitoring quality. The education service is the focus, though reference is made to other services and areas of the economy.

Structure

The thesis is structured in five sections, each of which is divided into chapters. Most of these chapters contain contextual, analytical and polemic dimensions so that a variety of aspects can be explored within the focus of each chapter.

The Preface provides the reader with an expanded table of contents, so that the main issues can be identified within each chapter. The context in which the thesis has been written is outlined in the Preamble.

The first section begins with a description of the research methods and outlines the content of the thesis. A summary of the historical background of Local Education Authorities (LEAs) is followed by a consideration of the emergence of school development planning and synthesises the relevant literature on school effectiveness, school improvement and performance indicators. Underlying issues about the nature of change are addressed in a final chapter.

The second section consists of three chapters (6 - 8) in which the empirical data from three main sources of evidence is presented. It was considered important to corroborate statements and opinions, wherever possible, by questioning the extent to which local and national evidence matched, and the extent to which the perceptions of LEA-based staff matched those of school-based staff.

A national survey of LEAs was carried out by post, and every LEA responded. This chapter begins with a critique and outline of the methodology

that was used. Guidelines for schools and in-service materials were also received from about one third of the LEAs, which provided extensive detail about the style and approaches of those LEAs.

More local data has been available from interviewing inspectors and officers in the sample of LEAs involved in the ESRC project. It has been feasible to relate the perceptions of these LEA staff with those of the headteachers, classteachers and governors of the same schools. At national level, a further comparison has been possible by linking the findings of a national survey of headteachers in identifiable LEAs with the responses of those LEAs.

Combining these four sources of evidence with information from a network of personal contacts in schools, LEAs and universities, led to a description of LEAs in four categories on the basis of their work in this area. (chapter 9)

The third section of the thesis considers the implications of the findings for the LEAs in their changing context. For example the potential for strategic planning of school support services is likely to be radically different and links with other community services may also need fundamental changes.

The fourth section discusses the implications for schools, particularly for governors and headteachers. The development of expertise in these two roles is a vital element in the ability of an increasingly devolved system to be proactive.

The fifth section brings together conclusions about strategic planning in the context of legislation that focuses both on nationally comparable standards and on fostering competition. It ends with some reflections about the implications of present trends for the future.

The appendices include a list of the publications to which reference has been made in the text, and an index so that the reader can locate such references. Some background details of the LEA survey are accessible from the summary statistics, the list of LEAs that sent materials, and the enquiry form. The schedule used while interviewing LEAs in the ESRC sample is also included. Finally, an introductory overview of the ESRC project is included from a paper published in Australia at an early stage in this project.

The purpose of the next chapter is to describe the historical background to the context in which LEAs have been operating.

Chapter 2

THE HISTORY OF LEAs : The impact of legislation on the provision of education.

1. Before 1832

England had largely failed to be proactive in developing a national education system between Henry VIII's destruction of the monastic system in the 1530s and the Education Act of 1870. Although a few charitable trusts were endowed by individuals, there had been no systematic attempt by the state to develop an educated population. In contrast, the Scottish parliament had decreed in 1696 that a schoolmaster should be appointed in every parish. Elsewhere in the British Isles, in the Isle of Man and Ireland, Parliaments had reinforced the efforts of the Church to make education accessible to most children. John Locke advocated, in his essay "On Education" (1697) that children between the ages of three and fourteen should be made to attend schools that should be established in every parish.

At a time of religious revival, the old links between the churches and education were reinforced. The Society for the Promotion of Christian Knowledge began in 1698, and provided an educational focus that led to the foundation of many charity schools, which by 1819 were educating 165,433 children. The 1819 Parochial Returns for England and Wales showed that there were 53,624 children at dame schools and over 400,000 children at other schools.

The Sunday school movement, which had begun in 1780, was reinforced in 1803 when the Sunday School Union was formed, which deliberately involved Anglicans and Dissenters in sinking their denominational interests in an effort to provide a free minimum education for all children. By 1820 477,225 children were attending Sunday schools. These schools also replaced the "circulating schools" in Wales, which had begun in Carmarthen in 1737 and had used peripatetic teachers to help both adults and children.

The first legislation that addressed the education of working class children was The Health and Morals of Apprentices Act passed by Peel's government

in 1802. This provided for teaching the three Rs to apprentices during the working day and for at least one hour on Sunday. By 1806 over ten percent of the Poor Law children were at schools of industry. However, parliamentary commissions in 1816 on elementary schooling in London and in 1818 on the rest of the country reported a “depressing inadequacy”. A Parish Schools Bill put forward by Brougham in 1820 had the potential of beginning a national system, but opposition from nonconformists and Roman Catholics to demands for Anglican control and teaching caused it to be withdrawn. The civil rights of nonconformists and Roman Catholics were recognised with the repeal of the Test Acts in 1828-9.

The industrial revolution and fears of social revolution had led to an increasing awareness of the need for all children to develop basic skills and to respect order and hierarchy. Some vocational ‘schools of industry’ were set up and resourced by products produced by the children, but these declined as the new factories increasingly looked for cheap child labour and parents took advantage of the additional income.

2. 1832 Reform Act

The Reform Act of 1832 improved the democratic basis of representation. Realisation of the increasing importance that new voters should understand political issues is considered by some historians to have helped education gain a higher priority. (e.g. Morrish 1970 p12). In the following year Roebuck’s ambitious Bill for “the universal and national education of the whole people” generated much debate. Although it did not succeed, it led to Parliament making a grant to encourage ‘private subscriptions for the erection of school houses.’ the 1833 Factory Act prescribed two hours of schooling a day for factory children, though no financial provision was made for the salaries or buildings that this implied, and from 1834 the new Poor Law Commissioners also had to ensure that education was provided for children in workhouses.

The Charitable Foundation Act of 1819 had initiated an extended period in which charities were investigated. As about a quarter of the 28,880 charities investigated by 1840 had educational aims, this would seem to be a significant step in the trends that led to the 1870 and 1902 Acts. The Board of Charity Commissioners was established in 1853, and in 1874 its powers were merged with those of the Endowed School Commissioners.

It has been alleged that the effect of these Commissioners did not match the

1853 intentions, though opinion about this varies, as is illustrated by the following two quotations:

"The Commissioners often used their powers to enable schools to require applicants to show some evidence of attainment, or to pay fees. These measures had the effect of turning schools established to provide elementary education for the poor into secondary schools for the rising middle class"

(Mann 1979)

"The result was that public schools enjoyed a subsidised system of secondary education established largely at the expense of the working class."

(Simon 1992)

The government had no education department either to monitor the work of the Commissioners, or to apply the educational vision of some of the Headmasters of these schools, such as Arnold, Thring and Percival, with the philanthropic perceptions of social needs that were increasingly widespread.

"There was no government wish to provide free, universal, compulsory and secular schooling. The field was left to private and voluntary effort."

(Mann 1979)

One example of a school endowed entirely by an individual philanthropist can be seen at Ford in Northumberland. It was begun in 1860 by the widowed Louisa, Marchioness of Waterford, and is now a museum retaining much of its original character, including large murals by the founder.

Grants to assist the British and National Societies to build schools were the first indication, from 1833, of central government expenditure on education. In 1839 a new Committee for Education was created by Royal prerogative as a committee of the Privy Council. Consequently its activities were immune from parliamentary review. Its main task was to administer the building grants. This grant was soon linked with inspection, and inspectors were appointed by the Queen in Council.

The rapid increase in the work associated with grant aid over the next fifteen years led to the separation of the Education Department from the Privy Council Office in 1856. The report of the Newcastle Commission in 1861 provided the first thorough survey of elementary education in England. It indicated the extent of the system's dependence on pupil-teachers that had developed since Lancaster and Bell had encouraged this sixty years earlier. The ineffectual grants system was simplified under the Revised Code of 1862, but the introduction in this code of payment by results based on testing

children led to a "sharp deterioration in relations" between government and school managers, and between inspectors and teachers. Five years later, Matthew Arnold reported that the pupil-teacher ratio had deteriorated from 1 : 36 to 1 : 54, and that

" the performance of the reduced number of candidates is weaker and more inaccurate...The mode of teaching in the primary schools has certainly fallen off in intelligence, spirit and inventiveness...."
(quoted in Maclure, J .1968 p 81)

Apart from the work of the Charity Commissioners in promoting secondary education and the Committee for Education in supporting elementary schools, a third focus developed in 1836 with the establishment of the Normal School of Design, which was supervised by the Board of Trade. In 1852 this became part of a new Department of Science and Art. Its function was " to supply scientific and artistic instruction to the industrial classes." Although it was only under the Board of Trade for four years before being brought under the Committee for Education, it continued as an independent department for forty years.

The extension of the voting to all adult males without a property qualification in 1867 emphasised the need for educational opportunity for all, whereas only half the parishes in England and Wales had a school earning grant. Yet making education compulsory for all would not be easy in practice. Arnold pointed out on returning from his European fact-finding tour for the Taunton Commission that education in Prussia was compulsory because it was flourishing, not flourishing because it was compulsory. He considered that England's attitude to culture and instruction differed significantly.

3. 1870 Education Act

In 1870, Arnold's brother-in-law W.E.Forster told the House of Commons that the government had decided "to cover the country with good schools, and get the parents to send their children to the schools." The Act required the direct election of school boards where they did not exist or where the electorate wished. These boards were given the power to levy a property tax or rate for building and maintaining the schools, subject to the approval of the Department. The Act did not establish compulsory education, but it made it possible and gave the school boards the power to frame by-laws for compulsory attendance of all children from five to twelve.

The development of local government at the same time led to tensions between the local and voluntary forms of organisation, as both depended on the public for funds (Pearce 1986). Mann (1979) has pointed out that the Government would give grants and inspect the schools in the same way that they had given grant aid to the voluntary societies, but it would not build or run them. The Boards were "a new source of initiative, independent of either the voluntary bodies or the remote austerity of the Education Department" (Maclure 1973). They were the precursors of the Local Education Authorities.

The 1871 Code detailed the arrangements for school organisation and curriculum as well as ensuring that the Department had tight control of the grant system. In 1880 Mundella compelled all Boards to enforce compulsory attendance and invited the Boards to suggest improvements to the code, but the Treasury was expressing increasing concern at the rising cost of the centralised systems of administration and inspection. Scotland's autonomy in education was confirmed in 1885.

The Local Government Act of 1888 was preceded by much discussion over the emerging issue between 'centralisers', who wanted local government to be concentrated in a central local authority, and 'decentralisers' who wanted the local authority to be a co-ordinating body with the Boards retaining the real power. This controversy continues with the current consideration of the roles of LEAs and Governors following the 1992 Act.

In this Act of 1888 the government established 62 new County Councils, which divided the administrations of the Shire counties from those of the cities and boroughs. The 1889 Technical Instruction Act gave these new councils powers in education which in retrospect can be seen as the foundations of the later establishment of LEAs. In 1890 the Chancellor raised taxes on spirits, and the Liberal MP Acland persuaded government to devote this 'whisky-money' to the new local authorities to promote scientific education.

At central government level, the Charity Commissioners, the Science and Art Department and the Education Department still operated independently. The Board of Agriculture was authorised in 1889 to give grants for agricultural education, and to inspect schools that gave instruction in agriculture or forestry. Mann (1979) has pointed out that:

"a century later, the Department of Health and Social Security still provides education in community homes, the Ministry of Defence provides schools for service-men's children and other schools for young soldiers, and the Home Office controls the scale of education in detention centres and borstals."

The 1870 Act had authorised School Boards to provide efficient elementary education, but had not defined what was meant by "elementary". They were directly elected, and did much to fill in the gaps in areas where schools had not been developed by the churches or others.

In spite of the codes, by the end of the century there was a wide variation in the ways in which the 2568 School Boards interpreted their role. By the time of the Bryce Report in 1895, the Boards had established 63 higher grade schools. This was being encouraged by the Liberals, but the Conservatives felt that the endowed grammar and other private schools were in danger of having their position undermined.

Acland, who led the Education department in the Liberal administrations from 1892 to 1895, had gained cross-party support for the centralist view, including the Fabian Webb and Conservative Gorst. He persuaded the government to appoint the Bryce Commission to resolve the issue of secondary education. The Commission's report advocated a centralist reorganisation that included the formation of a Board of Education under the Act of 1899. This brought together the Charity Commissioners with Education, Science and Art, under a Minister of Education. At local level it recommended that each county and county borough should nominate an education committee to 'supply, maintain and aid' all secondary schools.

The Conservatives under the 1895 Salisbury administration, with the support of the Church, launched a successful political campaign at local level to gain control of the school boards. Gorst, as Head of the Department of Science and Art, forced the issue of whether the Boards had the right under the 1890 Act to be involved in secondary education. In 1900 an auditor (Cockerton) from the Local Government Board brought a case against the London Board for teaching some aspects of science and art, and for teaching adults. The court ruled that the Boards were not empowered to teach beyond the elementary level. Emergency legislation ensured that there was a year of grace. The centralists had won the battle for secondary education, and retained the advantage until Grant Maintained Schools were introduced by another Conservative government and reversed the policy nine decades later.

Under the 1902 Act the School Boards were replaced with 315 Local Authorities (county councils, county borough councils and urban district councils), which now became the effective authorities for education in their areas. Secondary education was permitted, but was not mandatory. The School Boards were abolished, and education was brought into the

mainstream of local government. The appointment of an Education Committee was introduced as a requirement, and continued on the statute book in subsequent legislation, though it was questioned in the debates on the 1972 Local Government Act, until the 1993 Education Act. While the Board of Education controlled the curriculum of the new secondary schools, the local authorities increasingly took over responsibility for paying grants to voluntary schools and other services such as medical inspections (1907) and careers (1910). These functions were extended in the 1930s to cover many aspects of children's education, recreation, employment, health, welfare and care services, only to be dismantled again in 1974, when aspects were transferred to the National Health Service.

4. 1918 Education Act

Fisher's Education Act of 1918 contained some radical improvements, including simplifying the grant system to LEAs and raising the school leaving age to fourteen. Local authorities were charged with the duty of providing for "the progressive development and comprehensive reorganisation of education in their area." In 1919 the government asked the local authorities to prepare ten-year development plans, but by 1921 this post-war optimism was being overtaken by financial stringency. The Geddes Committee suggested cutting £18 million from an education budget of £50 million. Among other measures, Local Authorities were encouraged to employ unqualified teachers, and to reduce the salaries of the qualified.

The financial pressures in the 1920s and 1930s prevented the nation from spending more on education and delayed the introduction of free secondary education for all. At this time many LEAs would have only one professional officer, so if one with vision wished to implement a particular innovation, such as Henry Morris with the Cambridgeshire Village College, he would have to become entrepreneurial.(Ree 1973). Morris' fund-raising trips to the USA and broadcasts had a significant impact on the quality of buildings and artistic artefacts. The legacy of that initiative is still evident as the core of the comprehensive village colleges sixty years later.

In 1926 the President of the Board of Education (Lord Percy) revised and simplified Morant's Code of 1902 so that schools were given more freedom to decide on their curriculum and organisation, and central administrative control was considerably reduced. The idea of partnership between central government, local authorities and teachers gathered momentum. The Board of

Education exercised a mainly supervisory role, and

"was headed, during the inter-war years, mainly by politicians of indifferent talent, few of whom achieved anything substantial in this or any other office."
(Howell 1989)

The deprivations of the war years again focussed attention on the health and educational needs of children. One of the effects of evacuating children from the cities was to raise awareness of the poverty, ill-health and ignorance of those from deprived homes.

5. 1944 Education Act

The 'Butler' Act of 1944 replaced the Board of Education with a Ministry of Education, and retained the principle of partnership with LEAs, which were required to provide a three-tier system of primary, secondary and further education. The achievement of abolishing fees for education and extending a substantial element of education for all has tended to be overshadowed by the issue of selection for the three different types of secondary school.

The 1944 Act set the scene for several major post-war initiatives that revitalised the fabric of education. They were related both to post-war recovery and to raising the school-leaving age to fifteen, under the slogan "secondary education for all". The office of Chief Education Officer became statutory under the Act, and, under section 10, LEAs were required to prepare development plans for their areas. National resources were deployed to address shortages that had been exacerbated by the war, for example the shortage of school buildings was tackled with 6328 HORSAs over three years, and 250,000 chairs and desks were provided.

The launching of an emergency scheme for teacher training and the ex-servicemen's Further Education and Training Scheme both "revealed a wealth of talent which the pre-war school system had failed to unearth" (Mann 1979). The 1945 Burnham Committee accepted the principle that Local Education Authorities would be compelled to adopt a national basic salary scale for all primary and secondary teachers.

The 1944 Act reduced the number of LEAs from the 315 established under the 1902 Act to 154, of which 137 were in England. More than half of these served populations of less than 200,000, while 21 served over half a million. The larger LEAs delegated functions to Divisional Executives and Excepted

Districts. Each LEA had an Education Committee, and co-opted "persons knowledgeable in education" including Teacher Representatives. LEAs were administered by a small number of professional officers, whose salaries were higher than most other local government posts, as they were related to those of the headteachers. They tended to delegate functions to clerical staff rather than to increase their professional staff.

"LEAs have small and close-knit central management in relation to a large number of separate establishments under their formal control.... The central reality about LEA management is that oversight of any managerial sort is precisely what is not attempted "
(Pearce 1986).

From the perspective of the Society of Education Officers in the late 1980s, the 1944 Act was described as "the high-water mark of agreement on the purpose and nature of educational provision." (Brooksbank & Anderson, 1989) The thirty years following that Act saw a revolution in the quality and extent of the service.

6. 1960s / early 1970s

The increasing power of the teachers' unions nationally was reflected locally in the Teachers' Consultative Committees. The professional view was particularly significant in the development of local policies about eliminating selection at eleven in the wake of Circular 10/65. At national level, the contribution of the teachers' unions to the committee work of the Schools Council, founded in 1964, gathered momentum during the 1970s. In contrast, although the Schools Council was joint-funded by the DES and the LEAs, the influence of these partners in the committee decision-making structures declined in proportion to that of the universities and teacher unions.

The publication of the "Black Papers" from 1969 represented another thread in society - a lobby reacting against aspects of maintained education that gradually gained increasing control of an element of political opinion. The partnership between the DES and the LEAs began to be derided as a complacent or at least compliant arrangement that was allowing standards to fall. Public confidence in education was being eroded owing to causes outside the profession's control.

The objective in the 1944 Act of raising the school-leaving age to sixteen was finally achieved in 1972. Together with the growth in population, the

numbers of pupils had almost doubled since the end of the war, from 5 million to 9.5 million. The numbers of students in Further Education had increased more than tenfold, from 41,000 in 1947 to over 500,000 in 1972. LEA functions, such as those relating to buildings and student grants, had expanded to service this growth. The larger LEAs had grown to become completely different types of organisation from the small ones, and a career progression was developing for officers. (Brooksbank 1989)

The shift from central to local control involved both financial and political elements. The introduction of the general grant in 1958 was followed by local control over capital expenditure and then in 1965 the range of alternatives for comprehensive reform. Scrutiny of local government by central government appeared to be declining during this period.

7. 1974 reorganisation of local government

The Royal Commission led by Redcliffe-Maud reported on the local government system in 1969. One of the principles that underpinned the Redcliffe-Maud recommendations was that local government should develop as a unified activity serving the community as a whole, with corporate approaches to planning, development and management, rather than purveying separate services.

This was followed by the Local Government Act of 1972 and the new system began in 1974. London, which had been reorganised into 21 authorities in 1964, was excluded from the recommendations. The 79 county boroughs and 45 county councils were concentrated into unitary authorities, consisting of 47 shire counties and 36 metropolitan districts.

In many parts of the country this reorganisation took place in the context of confident and competent officers, advisers, headteachers, elected Members and systems that had exercised considerable responsibility for many years. Yet many LEAs experienced traumatic change as a result of this reorganisation. Some relatively small LEAs had been led by a Chief Officer who could adopt an episcopalian style as a school visitor whilst being tyrannical in his office and paternalistic in a committee of individually-minded members. Other LEAs were led by charismatic educational barons who had the power and the experience to inspire their Members and headteachers to follow their lead.

After 1974, the new-style CEOs had to develop managerial skills to handle Members whose political brief was becoming explicit; headteachers who were themselves often managing much larger and more complex organisations; Teacher unions that had clearer negotiating positions and power bases; central government that was wanting to regain lost ground and improve performance in the international context; and often an economic and social context that demanded considerable diplomatic skill and understanding. They did not consider that their loss of autonomy to corporate management teams had led to increased effectiveness in the education service, nor that they were contributing to greater effectiveness in other services. (G.Winter / SEO survey 1977) Yet over half the CEOs had no job description and three-quarters of the management teams had no terms of reference. Such changes took root gradually over the subsequent decade.

In most of the larger LEAs, CEOs had stimulated the growth of a professional advisory team with the dual function of "giving a professional lead to teachers, as well as advising their authorities". (DES 1985) Many smaller LEAs had not had such support, so schools were often wary of visits from unknown advisers, often from adjacent larger LEAs, in the time after the 1974 reorganisation. In some areas, active teachers' centres were seen as neutral ground, and enabled confidence and mutual respect to grow between officers, advisers, advisory teachers, centre wardens, headteachers and teachers. In others where roles and functions were unclear, hierarchical tensions developed.

The LEA's role as employer and the common professional concern with curriculum development became linked during this period and found one expression in an increasing concern for the professional development of teachers. The haphazard nature of funding provided an opportunity for central government to begin to assert its funding muscle through a series of developments involving grant aid during the 1980s, which will be considered in chapter 3.

LEA policy was increasingly recognised as being a crucial link between expenditure and the nature of provision.(Burdett 1988). Variations in expenditure between LEAs was considerable, but did not necessarily correlate closely with quality.

" The efficiency with which expenditure is used to provide educational resources affects the quality of provision; and the effectiveness of the application of those resources means that high spending alone will not guarantee quality in educational provision" (CIPFA 1988)

Central government saw responsibility for the education service as a partnership between central government, the LEAs, the churches and other voluntary bodies, the governing bodies of educational institutions, and the teaching profession. The description of a "national system, locally administered" that was later widely used by DES and HMI began to be used in the early 1980s, though there were suggestions that it dated back to Butler's time. The system was intended to

"give scope for local as well as national initiative, allowing authorities, schools and teachers a wide measure of freedom to develop education along lines they consider best suited to their localities."
(DES 1985a)

One example of the degree to which power had become decentralised was the style of the 1977 curriculum survey. A decade later many LEAs were still without written policies or guidelines in most areas of the curriculum.

The changes of central government in the late 1970s involved an Education Act in 1976, requiring LEAs to reorganise their secondary schools along comprehensive lines, that was repealed in 1979. Increasing recognition of the role of governors accompanied the Taylor Report in 1977, and parents' right to involvement and choice was made explicit in the 1980 Act. This growth in consumerism as an educational ideology included a requirement in the 1980 Act that LEAs must provide information about schools, such as examination results. The 1986 Act and the subsequent circular 7/87 developed further some of the detail in the 1980 Act concerning the respective duties of LEAs, governors and head teachers, and introduced the issue of appraisal.

The 1981 Act had incorporated some of the recommendations of the Warnock Report on Special Needs. This type of Act seemed to be rather different in envisaging significant changes in organisations and in professional attitude, rather than reflecting changes in political policy or professional attitude that were already well developed (Lawton 1987). The 1986 Act was soon to be followed by a much more radical and far-reaching attempt to use legislation to improve standards.

8. The 1988 Education Reform Act

"The distinctive challenge of the Education Reform Act for headteachers and their senior management teams is the management of multiple change"
(McMahon & Bolam 1990 p 28)

The wide-ranging nature of this Act brought the issues of the central control of the curriculum, assessment and resourcing of education back into the mainstream of the agenda. The divergence between the professional and political perceptions of the need and direction of change was considerable. The centralist development in 1988 of the National Curriculum Council (NCC) and the Secondary Examinations and Assessment Council (SEAC), had a revolutionary impact on curriculum and assessment. Local curriculum policies were superseded by explicit guidance related to national targets.

Recently, other local policies, such as the management, finance and legal framework of community education, seem likely to be starved of resources and some such services have been dismantled. Initiatives that brought together different services in partnership with local communities over issues such as adult literacy, after being neglected by the DES, will need to be resourced in other ways or shrivel. (Education editorial 179.9 p.161 (28.2.92). The mandatory local resourcing of some services, such as free school meals, together with rate capping, undermine the ability of LEAs to resource local policies.

In 1990 education in London was reorganised with the abolition of the Inner London Education Authority, and each Inner London Council became the LEA for its area. This has been followed by similar plans for Wales. The 1992 and 1993 legislation creates radical changes in the functions of and balance between central government, local government and schools. The Prime Minister is

“determined to reverse the failings of the comprehensive system and the cycle of low expectations and low standards which it has fostered.”
(public letter to F. Jarvis, Feb. 1992)

The application of a wide range of ideas, some of which can be partly recognised from various previous contexts in this country and elsewhere, is taking place at a pace that causes some concern about multiple innovation, and this issue will be developed in later chapters. Many of the administrative, supportive and monitoring functions of LEAs are being devolved to schools or to contract-based agencies. Other functions that have been controlled via locally elected Members are being diverted to the Secretary of State, backed by detailed legislation.

In this context, the development of skills and processes relating to planning have become increasingly important for all involved with the practical aspect of teaching pupils or leading schools. The next chapter considers the emerging contribution being made by school development planning.

Chapter 3

THE EMERGENCE OF SCHOOL DEVELOPMENT PLANNING

1. BACKGROUND : 1944 - 1970

The term “development planning” has been used for many years at central and local government levels, but did not begin to be applied at school level in this country until the 1980s. In the 1944 Education Act, for example, plans for post-war reconstruction were already being laid

“Every Local Educational Authority shall estimate the immediate and prospective needs of their area ... and shall within one year ... prepare and submit ... a plan (in this Act referred to as a ‘development plan’) ... showing the action which the authority propose should be taken for securing that there shall be sufficient primary and secondary schools available for their area and the successive measures by which it is proposed to accomplish that purpose “ (para 11.1)

“After considering any objections to a development plan ... the Secretary of State shall approve the plan and shall give such directions to the LEA as he considers desirable ... “ (para 11.4)

This quotation illustrates both the mandatory way in which the term “development plan” was used at that time, and the focus on building programmes which central government required of the LEAs until the early 1960s. After that time population movement and changing ideas about education reduced the need for such plans. However, the term “development plan” continued to be used in the context of strategic planning for buildings by LEAs. The need for financial planning was stimulated by the reorganisation of local government boundaries in 1974.

At that time the term was not used normally in the context of improving learning, teaching or management. For example, the Plowden Report on Primary Schools (DES 1967) described 5% of children as experiencing schools which were

“markedly out of touch with current practice and knowledge, and with few compensating features.”

"The local authorities and H.M. Inspectorate do all they can to assist such schools to improve, but their weakness makes them less susceptible to constructive suggestion than better schools. We would like to see systematic efforts to provide special in-service training for teachers in these schools and to see they take advantage of it."
(para 272)

Nor was the term used yet with reference to curriculum planning....

"An individual... statement of aims ... clears the writer's mind and compels him to examine what he is doing and why. ... They should encourage class teachers to look critically at their day to day work, relating it to guiding principles and not simply to short term objectives. What practices in my school develop these qualities? Which of these qualities are developed by this particular practice?"
(para 502)

The following paragraph suggests that

"Another approach might be to draw up a list of danger signs, which would indicate that something has gone wrong in a school Habit is an immensely strong influence in schools, and it is one that should be weakened though it is never likely to be removed." (para 503)

Significant changes emerged during the 1970s that affected school resources, the curriculum, professional development and whole school development, and these will be outlined next.

2. CONTEXT : 1970s

2.1 School resources and the curriculum

By the mid-1970s, awareness of management skills among Heads was gathering momentum, particularly in secondary schools, and the effectiveness of strategic planning was increasingly being recognised. Development of schools as resources for the community continued, but increasing attention was being paid to the deployment of resources *in* schools. For example, in a publication for the Council for Educational Technology, Eric Briault (1974) wrote :

"The major resource for learning will be the development within each school of arrangements for the participation of all members of staff in decision-making about the choice of resources, in the management of those resources, and in the consideration of innovatory ideas. So the school itself becomes a responsible and creative institution, capable of not simply responding more or less positively to innovation but being

able to consider, understand and evaluate opportunities and pressure for change in such a way as to take full advantage of the growth of learning resources which is taking place and which will accelerate in the years ahead. (p.46)

The Schools Council facilitated the production of a considerable range and quantity of publications concerning curriculum and examinations at this time. Curriculum resources included classroom materials for teachers and pupils, working papers and research studies. The relationship between the financial resources available to the school and curriculum planning was of increasing interest by the mid-1970s. For example, the Working Party on the Whole Curriculum identified six principles of curriculum planning that are still relevant to school development planning. This group concluded that planning is a continuous, practical, structured, collaborative and informed activity that requires judgement and is designed to incorporate innovation into the system. (Schools Council 1975 p 78-79)

In 1977 education was given prominence by the Labour Government and Secretary of State James Callaghan launched a “great debate”, which was intended to engage the public and the profession in several issues designed to improve the quality of the service.

In the same year the Secretary of State commissioned a survey of LEA curriculum policies that showed sharply the difference between the LEAs where advisers were attempting to promote a particular line in a phase or curriculum area and the majority that were not. In many cases, advisers responded to the survey by summarising good local practice. Several of the questions began with phrases such as “What is the Authority’s policy for” or “How does the Authority help schools provide for ...” or “What steps have the Authority taken to ...” Whilst some Education Committees received such summaries before they were returned to the DES, there was rarely any debate. The bland report that followed (DES 1979b) indicated how varied were the expectations of LEAs, and how the adviser “ had become the typical LEA’s substitute for policy.” (Pearce 1986)

This was followed by an increasing quantity of pronouncements by successive governments that were intended to stimulate improvements, but the term “school development plan” was not yet being applied. For example, in 1980 the DES published proposals for consultation which included :

..it is important that each pupil’s educational experience should be well balanced : and this can only be assured by co-ordinated planning within the school (para 10)

Authorities should collect information annually from their schools about the curriculum offered, together with school assessments of the extent to which the curriculum matches school aims and objectives. (The Secretaries of State) believe schools will find it particularly valuable if the preparation of such assessments forms part of their own self-assessment procedures.
(para 14)

This was reinforced in the following year by the statement that :

"...every school should analyse its aims, set these out in writing, and regularly assess how far the curriculum within the school as a whole, and for individual pupils, measures up to these aims."
(DES 1981 paras 18 & 60)

Thus by the beginning of the 1980's the issues of curriculum planning and whole school review were well embedded in the national agenda and there was a political concern about the need to improve school effectiveness.

2.2 In-service education

The importance of focussing on the quality of the teachers had emerged during the 1970s as a crucial area, and one of those in which deliberate planning at national level was long overdue. The funding of in-service training had been targeted at individuals, which conveniently matched the provision of long, taught courses in institutions of higher education.

The Plowden Report (DES 1967) had recognised the potential importance of INSET

"All teachers should have a substantial period of in-service training at least every five years. Authorities and Heads should use more freely the power they have (within a minimum obligatory number of sessions in the school year) to close schools in order to make possible in-service training."
(Para 1027 and recommendation xviii in para 1028)

In 1972 the James Report (DES 1972) reinforced the message

" All teachers in schools and full-time staff in F.E. colleges should be entitled to release with pay for in-service education and training on a scale equivalent to not less than one school term (say, 12 weeks) in every seven years of service and, as soon as possible, the entitlement should be written into teachers' contracts of service.
(Recommendation 10)

The entitlement should be satisfied only by release for substantial courses lasting at least four weeks full-time (or their approved part-time equivalents)

(Recommendation 11)

The entitlement should be in addition to shorter third-cycle activities, whether or not involving release from teaching, and these short-term opportunities should themselves be substantially expanded"

(Recommendation 12)

However, these, and a number of other radical recommendations were only to be partly implemented in spite of the optimistic references to resources

"it has certainly been impressive that those witnesses to the Inquiry who would be regarded as the most knowledgeable and concerned in financial questions have been among the strongest advocates of a large expansion of in-service education and training" (para 6.25)

Within months of publication, the oil crisis began to impact on taxation and public services, and education descended among the political priorities.

Professional concern meanwhile was increasing throughout the 1970s that this style of funding was failing to deliver widespread improvement in schools. LEA advisory teams and Teachers' Centres were involved in identifying and meeting in-service needs (Beresford 1974, 1977). Increasingly, staff in colleges, university departments and institutes of education were also involved in providing opportunities for professional development. In some areas there was close collaboration between these varied providers, whereas elsewhere independence led to non-award bearing activities competing for participants (Beresford 1980, 1982)

The integration or application of professional development into the effectiveness of the whole school was still piecemeal rather than strategic. One attempt to encourage the implementation and dissemination of new ideas was to be found in the Open University's Diploma in Reading and Language Development, which required those pursuing the fourth unit to engage in a dissemination activity. Response to this varied widely with the circumstance of the participants, and later the requirement was made optional.

In some parts of the UK there was also increasing differentiation between the use of the terms "in-service training", "in-service education" and "staff development". Whilst the DES maintained the use of "in-service training" as an umbrella term, in some quarters this was applied only where there were clear learning objectives or skills being acquired. The broader term "in-service education" incorporated the range of experiences that caused attitudes and

general competence to improve. Most significant, the term “staff development”, which had been used in further education, was increasingly spreading first to secondary and later to primary schools. It implied a shift from an individualistic to a school-focussed group approach. Some feared that it would eventually lead to a skills-related programme dictated by employers.

In 1976 an advisory committee report had stated that

“The increasing importance attached by all concerned to school-focussed INSET places a responsibility on the school and its whole staff to be continually involved in assessing needs and seeking ways of meeting them. The formulation of a staff development policy related both to the needs of the school and its teaching staff is as important as and complementary to schemes of work and organisation.”

ACSTT / INIST 1976 para 3.5

Several LEAs were using the term staff development to signify a more holistic approach. For example, the Hargreaves Committee recommended to ILEA (1984) that the title of the senior staff inspector should change from general duties to staff development (22); that secondary schools should “designate a deputy as staff tutor with overall responsibility for staff development within the school” (64); and that all management courses for headteachers and senior staff should “include a component on staff development and INSET” (93).

3. WHOLE SCHOOL REVIEW AND DEVELOPMENT

The increasing focus on the three concerns mentioned above - the deployment of resources, curriculum cohesion and in-service education - encouraged an increasing emphasis on managing schools in ways that caused the whole to be more than the sum of the parts. The theory for school development was readily available for adaptation from curriculum development - for example, Wheeler (1967) had described five broad stages of a cycle that was more common in business circles : situational analysis, goal formulation, programme formulation, programme implementation and evaluation.

Adaptability to enable barriers to be overcome had been explored both from the perspective of disseminating curriculum projects (MacDonald & Rudduck 1971) and of adapting the classroom (McLaughlin 1976). Havelock (1969)

had described a problem-solving approach involving six main stages : felt need, problem diagnosis, search for resources, retrieval of resources, fabrication of solution and application of solution. Havelock later (1973) recommended applying this to managing schools by using “inside-outside” teams to overcome rejection of change agents. Bolam (1977) also argued that “the problem-solving or creative school concept is suggested as being one effective way of bringing about improvements in schools.”

At school level, a cyclical progression from description to analysis, judgment and action was rare. Curriculum development skills were perhaps better developed among middle management than senior management in the 1970s, particularly in the secondary phase. However, this focus on whole-school issues in the 1970s and 80s was gaining momentum at international, national and local authority levels, and each will be mentioned briefly next.

3.1 International developments

i. IMTEC and its “Institutional Development Programme”

In 1972 the OECD created a research and development programme which produced case studies of educational change and organised international training seminars. This developed into the network called IMTEC - International Movements Towards Educational Change. Support from the World Bank enabled it to operate as an independent non-profit making foundation from 1977, led by Per Dalin of Norway. Interest in school-based self-assessment and self-renewal stimulated the development of the “institutional development programme”, especially in Norway and Canada. (Dalin 1979)

A meeting chaired by Dudley Fiske took place in Manchester on 24 October 1979, to decide whether to develop a pilot in this country. Although an initial pilot was established in five LEAs, the financial constraints over the following six months deteriorated sharply. Cambridgeshire, Cleveland and Enfield retained an interest but were unable to meet the financial commitment beyond the initial stage. Clwyd and Sheffield were involved rather longer. However, colleagues at Cambridge Institute (John Elliott and Dave Ebbutt) were among those who were able to pursue this and modify the materials to suit this country. There was a close link with those who were also involved in the INIST initiative, but a proposal in summer 1980 for support funding from the Schools Council was unsuccessful.

ii. ISIP

In 1982 the OECD sponsored the International School Improvement Project, as is mentioned in chapter 4.3. This had a much firmer base in research and practice in the UK and it built on previous OECD/CERI initiatives, in particular the INSET project (Bolam 1982). The conference held in 1986 to disseminate the findings of the project, and the subsequent publication, (Hopkins 1987) has had more practical effect than most OECD initiatives in the UK. The project resulted in 15 publications in 1985-7 and led to deeper insights into the process of school improvement in several countries.

"This understanding has occurred at the school level, at the level of external support... and how the work of policy makers can become more effective if they follow certain principles and strategies."

Van Velzen 1987

3.2 National developments

i. INIST and School-focussed Review

The Induction and In-service sub-committee (INIST) of the government's Advisory Committee on the Supply and Training of Teachers (ACSTT) held a significant conference in Bournemouth in January 1978, and decided to disseminate its outcomes widely to teachers (ACSST / INIST 1978) This pamphlet was planned around "four practical steps that any school can take to plan its own programme" ...

- a) *Identify the main needs of individual teachers; of functional groups within the school; and of the school as a whole.*
- b) *Decide on and implement the general programme, having decided which needs should be given priority in any one term or year.*
- c) *Evaluate the effectiveness of this general programme.*
- d) *Follow up the ideas gained.*

Issues that were raised included prioritising resources, such as the release of teachers. At that stage there was still a national commitment to achieving 3% release by 1981. Ways of releasing teachers from classes for school-focussed work were also mentioned, and there was recognition that...

"Time has to be found for planning and co-ordinating a school's INSET policy. At the most basic level, there is a need for someone to co-ordinate information."

By the beginning of the 1980s, recognition of this need was increasingly widespread. (Beresford & Bridges 1980). One of the questions left with the reader of the INIST leaflet was “What arrangements are needed to plan and review priorities and programmes in your school?” The leaflet encouraged the issue of school improvement, as well as the more limited concept of professional development, to become a central issue.

ii. HMI

Pressure to increase the public accountability of schools led to the 1980 and 1981 Education Acts, which required schools to provide parents with more information about the curriculum and the organisation of the school, and to publish the results of public examinations. From January 1983 HMI reports on schools were also published instead of being available only to the schools inspected. It was not feasible financially or politically to increase the number of HMI sufficiently to be able to inspect a significantly greater proportion of individual schools nationally, and there was little evidence that this would be the most effective way of improving the schools.

However, the surveys of Primary and Secondary Education (DES 1978,1979a) each had a significant effect, and showed the importance of a national overview based on evidence gathered systematically by HMI. LEAs were encouraged to base authority-wide judgements on equivalent local data, which led to several LEAs shifting increasingly from advisory towards a more inspectoral approach. The DES also increasingly encouraged schools to take more responsibility for monitoring their own performance and for making appropriate changes as a result.

3.3 Local level

By 1982 about one third of the LEAs had published schemes for systematic school self-evaluation, and it was estimated that about four-fifths of the LEAs in England and Wales had been involved in devising schemes (Elliott 1982). The majority of these schemes included lists of questions or statements about schools and schooling compiled by professionals. Lay involvement was rare. The development of these materials was used in some areas as an in-service process in itself, and the results varied in quality.

In retrospect, a few of these initiatives have had a lasting impact on the individuals involved in developing them, and on the review processes in the schools and LEAs involved. Clift has differentiated between three styles of approach :

~ voluntary review, without any requirement to present or even produce a report

~ compulsory review, followed by the production of a report to be presented to the LEA

~ compulsory review, followed by the production of a report to be presented to the LEA which is then audited by the LEA inspectorate.
Clift 1987

The approach that some LEAs developed a decade later with school development planning reflects their experience with school-based review. Three contrasting examples of school-centred initiatives are Oxfordshire, the GRIDS project and ILEA, and although these have not been selected particularly to illustrate Clift's three styles, there is some overlap.

i. Oxfordshire

Oxfordshire is an example of the second of Clift's categories mentioned above, which he wrote about in another paper with Nuttall and McCormick (1987). The scheme's purposes were:

*~ to promote the greater accountability of schools by requiring them to report on their practice to their governing bodies and to the LEA; and
~ to promote the improvement of educational practice by requiring schools to undertake a review of their activities."*

Oxfordshire 1979a

The process started with the teacher, and every teacher was given a 37 page booklet as "an aid to teachers individually or collectively, and schools, in examining the value of what they do". These questions were similar to those in the 1977 ILEA publication "Keeping the School under Review". The second aspect was a four-yearly report from the headteacher to the governors and LEA (Oxfordshire 1979b). This was subsequently amended to a five-yearly cycle.

In the five years after the publication of the scheme, four fifths of the teachers had been involved in whole-school review and had either reported to their

governors or were about to do so. Clift and Turner (1987) found that the majority of teachers were in favour of going on to another round of reviews, and that the scheme has been useful in producing proposals for change in schools. However, they also concluded that at that stage the scheme had only partially met its aim of increasing accountability, that the schools' self-evaluation reports tended to be mainly descriptive rather than judgmental, and that reports were not sufficiently linked with an active programme of school improvement. As will be considered in later chapters, such comments anticipate the similar position in many areas at the early stages of school development planning.

ii. GRIDS

Some of those who had been involved with the IMTEC initiative, such as Peter Holly, who later worked for Cambridge Institute and for IMTEC, were also involved in the development of GRIDS (Guidelines for Review and Institutional Development in Schools). This was published, after widespread trialling of primary and secondary versions, by Agnes McMahon and Ray Bolam in 1984. The checklist style of approach in GRIDS and the IMTEC IDP needed sensitive handling to motivate teachers. Success in the pilot schools, where appropriate management styles had been considered, and the process was being monitored, was not replicated as widely later without the external support. Criticism of bureaucratic and insensitive handling at school and LEA levels, together with methodological concerns, reduced the impact of this initiative. However, it provided an external reference point and a well researched approach to an area that enabled LEA and school working groups to sharpen their own approaches to questioning.

iii. Development planning in ILEA

Reference was made above to the 1977 ILEA publication 'Keeping the School under Review' which several other LEAs used as a basis for their documents. The involvement of the individual teacher in thinking analytically about the context of the whole school was a new experience for many teachers, particularly in the secondary phase, where most teachers related more to their subject or pastoral organisation. Yet it was clear that there was increasing public concern about pupil disaffection, absenteeism, under-achievement and other whole-school issues that were the concern of every teacher.

In 1983, Dr Michael Birchenough, the Chief Inspector of ILEA, invited Dr David Hargreaves, Reader in Education at Oxford University, to chair a committee on the curriculum and organisation of secondary schools. The committee identified 52 topics relevant to its terms of reference and visited 61 schools representative of the ILEA area. The report of this committee (ILEA 1984) included a "plan for implementation" (pp122-126) which was

"ambitious .. it requires strong central co-ordination but rests on the voluntary participation of schools in the light of their own needs and preferences." (para 6.20)

Even if the dismantling of ILEA four years ahead under the 1988 Act could have been anticipated, it was certainly not an option that needed to be incorporated in any recommendations. The importance of reviewing the whole school was emphasised. The report stated

"Change and development in secondary schools must be considered in a coherent way if the process is to be manageable and command the support and commitment of teachers" (para 6.5)

The proposal was, however, aimed at the LEA system rather than at individual schools,

"We propose a five-year plan which potentially involves all secondary schools, both county and voluntary, but does so in a staggered way" (para 6.7)

It was envisaged that schools would volunteer to participate in the first phase. The guidance about priorities was clear :

"All schools should assign the highest priority to the development or improvement of a policy for staff development, not least because a teaching force of quality combined with high morale is the essential basis of a programme of school improvement" (para 6.8)

"We propose that all phase 1 schools develop units ... to reduce underachievement and disaffection..... in addition, phase 1 schools will select either teacher-parent partnership or pupil involvement as a concurrent area for development" (para 6.10)

"Each phase 1 school will thus embark on a variety of development projects (it) will negotiate a unique constellation or 'package' of areas relevant to its needs and preferences." (para 6.13)

A separate committee in ILEA led by Norman Thomas produced a significant publication in 1985 entitled "Improving Primary Schools". The following extract represents the first practical statement about school development planning that had a major effect in schools:

"We recommend that every school should have a plan for development, taking account of the policies of the Authority, the needs of the children, the capacities of the staff, and the known views of the parents. The plan should have an action sheet attached to it, showing what the responsibilities of members of staff will be and setting target dates. The plan should also show what, if any, outside assistance or special resources will be needed and indicate time scales; it should also show by what means the effects of the plan are to be assessed. The central purpose should be expressed in terms of the improvements sought in the children's learning"

ILEA (1985) para 3.94

The importance of this report was acknowledged in the recommendation of the House of Commons Education, Science and Arts Committee in the following year (1986).

" We recommend that every primary school ... should be required to operate according to a development plan agreed between it and the governing body and / or LEA, subject to the school's county or voluntary status. The plan should take account of the policies of the Government, LEA, governing body, the capacities of the staff and the known views of the parents. The plan should have an action sheet attached to it showing what the responsibilities of members of staff will be and setting target dates. A plan might well take more than a year, and would be one of a continuing series. Each plan should show what, if any, outside assistance or special resources would be needed. It should show by what means the effects of the plan are to be assessed. The central purpose should be expressed in terms of the improvements sought in children's learning. Agreement by the LEA and governing body would include agreement to the resources, including INSET, necessary to the plan's success." (14.167)

An earlier paragraph also indicated that the strategic suggestion in the report of the Hargreaves Committee (ILEA 1984) was adaptable to the national scene :

"It is not practicable to expect all schools to produce and operate school development plans immediately, but a beginning should be made soon, and we recommend that all schools should be drawn into a phased national scheme within five years." (13.41)

A Memorandum to the committee by the DES also picked up the INSET dimension

" The growth of local authority advisory services, and the employment by some of advisory teachers to work alongside other teachers in the classroom, have facilitated a gradual expansion of the school-based approach..... School-based INSET should be at the heart of any systematic and purposeful approach to INSET for primary teachers." (Appendix 72. para 25; Vol. 2, page 759)

In 1985, the DES had published "Better Schools", and stated :

"The professionalism of the teacher also involves playing a part in the corporate development of the school. HMI reports frequently refer to the importance of professional team work, where the teachers within a school agree together on the overall goals of the school, on the policies for the curriculum in the widest sense " (para 143)

Sadly, when the Government made its formal Observations on the third report of the Education, Science and Arts Committee (13.1.88), there was no formal recognition of the importance of the quotations above and no mention was made of school development plans.

3.4 Influences on INSET funding

The context was changing with increasing competition for resources between the two government departments claiming resources for education and training. The resourcing of the Manpower Services Commission; its initiative in Training and Vocational Education (TVEI); the subsequent TVEI-related In-Service Training (TRIST); and the research project known as DELTA (Dissemination arising from Evaluations of local TRIST Activities) (Holly et al 1987) generated a new thrust in the INSET field.

A radically different approach to funding and a more school-centred approach accelerated the trend. When the time-limited TRIST funding ended, the pooling arrangements were finally supplanted by the LEA Training Grants Scheme (LEATGS). This was later linked with the separate system of Education Support Grants (ESGs), that mainly funded the salaries of advisory and support staff, to form the basis of the Grant for Education Support and Training (GEST). The foundations for this revolution in the style of funding were laid in the 1985 DES publication "Better Schools"

" The government proposes to introduce legislation extending the Secretary of State's existing power to grant-aid in-service training. It envisages that grants paid under this extended power would fall into two parts. One part would continue the existing in-service grants for national priority areas of training; the other would be a general in-service training grant to cover both provision and release costs for training planned to meet locally-assessed priorities. Responsibility for planning and implementing much in-service training would continue to rest with the LEAs, as employers of most teachers, but within a framework which would lead to more effective planning and management of training." (para 176)

In 1986, HMI reported the beginnings of the effect of this change :

"..In two LEAs, all schools were required to produce INSET plans which were then discussed with officers and advisers as a means of arriving at agreed plans for staff development; in one of these LEAs the school then received funding to implement the agreed programmes." (DES 1986)

The implications of these changes had two other significant effects. LEA officers were now working within a national structure that involved generating matching funding to specified levels. This helped to protect the INSET budget, which was traditionally vulnerable in local negotiations, and necessitated prioritisation within the budget. Initially there was sufficient flexibility for local and historic differences to be accommodated, but this was gradually reduced.

The second effect was to alter the relationship between the higher education sector and the LEAs in some areas. The previous system of 'pooling' a proportion of the salaries of teachers attending award - bearing courses had given rise to a range of practice. In many areas there was little contact between the LEAs, the HE institutions and the schools from which the teachers were seconded. In such cases the career of the individual may have benefited, but there was normally little feedback or perceived benefit to the school or the LEA. Indeed, the individual often moved schools within a couple of years of completing the course, so the benefit was considered to be both national and personal.

In some areas, however, the LEAs collaborated closely with the HE institutions over the content of taught courses and action research. Individual teachers had to apply both to their school, as their place of employment, and to the LEA, as their employer, for release to attend the course. In such LEAs, preference for the limited number of secondments would be given to those individuals and courses that met certain criteria. Some of these were linked with strategic planning by the LEA, for example in management development or leadership in shortage subjects.

The change from the pool system focussed on cost-effectiveness. Advisory teachers working alongside teachers and leading INSET activities in priority areas were valued increasingly, and were well subsidised through ESGs and later GEST. The take-up of taught full-time long courses declined dramatically, to be replaced by a mixture of twenty-day and part-time courses. Teachers engaging in research focussed increasingly on school or role-based issues rather than curriculum development.

The development of the individual professional had been linked with personal refreshment, peer recognition and increasing job satisfaction, as well as increasing knowledge and skill. The effect of the changing arrangements was to focus increasingly on the team rather than the individual. As the development of the school became increasingly explicit, the management's need for a coherent and holistic approach to staff development took priority for resources over the individual's desire for academic study (Bradley 1991).

4. THE IMPACT OF THE 1988 ACT ON SCHOOL DEVELOPMENT PLANNING

4.1 1988 - 1992

In the context of the year or two before the 1988 Act was debated in the Houses of Parliament and received royal assent, there was a flurry of activity in some LEAs to ensure that local curriculum policies were brought up to date, that the systems for administering resources for INSET were running smoothly, and that local advisory services were meeting the increasing requirement to carry out local inspections. However, local management of schools emerged as the central shift in policy that distinguishes the 1988 Act from the system that had been evolving since the 1944 Act. The 1980 Act had required that parents should be given more information. The 1981 Act had redefined the rights and entitlements of children with special needs. The 1986 Act had introduced teacher appraisal and reformed governing bodies.

Development planning became a key management issue for headteachers and Governors and was no longer only the concern of Officers and Elected Members. As the effects of local management increasingly permeate every aspect of schools, the implications of development planning in the years since the passing of the 1988 Act have increased significantly. The impact of the Act on the elements previously considered in section 2, namely resources, curriculum and INSET, will be reconsidered next.

4.2 Resources

The devolution of financial accountability to schools had been gathering momentum in some areas such as Cambridgeshire, which was piloting Local

Financial Management (LFM) during the 1980s (Stenner 1986). Aspects of this experience were later incorporated into the government's specific proposals for the Local Management of Schools (LMS) in the 1988 Act.

To the businessman or banker, the term "development plan" had been commonplace for many years, and found its practical expression in costed proposals leading to the formulation of a budget. For example, the University of Cambridge, which has an annual budget of approximately £150 million, has set a "development plan" target of £250 million over a ten year period to pay for six capital projects that have been identified as priorities. (Cambridge Foundation 1992). LEAs with similar or larger budgets may not have linked development planning with fund raising in the same way, but prioritising within Triennial Medium Term Plans was the context for determining annual budgets in many LEAs for several years.

The increasing devolution of financial responsibility to most schools for management decisions, particularly the inclusion of salaries and premises costs, has led to the need for schools to take a much more rigorous approach to planning and review. New technology has enabled variables among the costs and benefits of the curriculum, INSET and organisational development to be quantified in new ways, but at the same time effective management needs to involve a wide range of professionals and others in consultation over priorities. Wragg (1992) summarised this in introducing a handbook for headteachers :

"The emphasis in the late twentieth century needs to be on management with a human face. More mechanical aspects can be left to the silicon chip."

Reference is made in chapter 4 to recent research on school effectiveness and school improvement, but one aspect of the Rutter team's work (1979) that is significant in this context is the finding that the staff in the more effective schools felt that they had a stake in the making of decisions. In the context of LMS, this increasingly includes financial planning, as is considered in chapter 8.

4.3 Curriculum and INSET

The DES recognised the planning and INSET issues involved in the introduction of the national curriculum. There were two main initiatives. First, the idea of an Annual Curriculum Return, which was withdrawn after a

while as being unworkable and unnecessary, particularly in primary schools, and will be passed over for the purpose of this section. Second, the idea of encouraging planning for the introduction of the national curriculum. The way in which the DES communicated with LEAs on this issue will be described next.

The progress in the adoption of the idea of development planning can be illustrated by the change in the wording of questions put to LEAs between May 1988 and August 1989:

31st May 1988 .. *"What change has the authority made to its system for identifying training needs, determining priorities and managing the training programme? How have these changes resulted in improvements in the authority's training programme?"*

(Question 1, Annex B, LEATGS draft for 1989/90)

The DES indicated the timescale involved in initiating national curriculum development plans in a letter to LEAs on 14th December 1988 with the following paragraph

"The Secretary of State will be seeking from all Authorities by the end of September evidence that Authorities have coherent strategies for training for the National Curriculum in the two financial years 1990-91 and 1991-92. These strategies should take account of needs identified systematically through national curriculum development plans and of further advice from the NCC, SEAC and the DES."

This was reinforced in the Spring and the Summer

17th February 1989 ... *" The Department will seek further progress reports from authorities concerning National Curriculum Training Plans, aftercare, dissemination, evaluation and monitoring by the end of September 1989."*

(Question 3, Spring 1989 questionnaire)

18th August 1989 ... *" What strategies has the LEA for training for the National Curriculum in the financial years 90-91 and 91-92? Have all schools in the Authority produced national Curriculum Development Plans and to what extent have they been used to identify training needs and priorities?"*

(Question 1 to LEAs attached to LEATGS Circular 20/89)

Meanwhile that summer, HMI reported that

" The progress of drawing up, and the quality of, school development plans and curriculum development plans varied markedly. As might be expected, in authorities where development plans had been requested for some time the schools had less difficulty adjusting to the additional

planning requirements than those with no such experience. Most of the schools needed to relate their School Development Plans more closely to the requirements of the whole curriculum, including the National Curriculum, and to identify the curricular demands upon individual teachers.” DES 1989b Paragraph 26

Remarkably, the opportunity to make a significant impact on devolving responsibility to schools by incorporating school development planning into legislation was not taken. The term “Development Plan” continued to be applied to LEA functions. Section 165 of the 1988 Education Reform Act required each Inner London Council to prepare a Development Plan related to the disposal of functions and property of the ILEA.

The NCC, in their introductory booklet “From Policy to Practice” (1989), refer to DES “advice” that schools should prepare “National Curriculum Development Plans”. Such plans would

“ look over the early years of implementation of the national Curriculum and show how schools’ staffing and other resources will need to adapt to meet the new challenges..” (para 9.12)

LEATGS circular 20/89 outlined the criteria for grant as follows :

“LEAs are reminded that their proposals will be expected to reflect thorough consultation on the training needs of all groups eligible under the scheme, involving regular consultation with individual teachers ... with schools and colleges and with interested bodies.” (paragraph 20)

The message to LEAs was clear. The consultative arrangements, usually involving teacher representatives elected through the professional associations, was at last recognised as being insufficient. The logistical difficulties of consulting with individual teachers could only be achieved through school development plans. However, there was no DES directive to this effect, so it was left to LEAs to cajole and persuade Heads that national curriculum development plans were a clear requirement, and that school development planning was a desirable process.

The relationship between LEAs and schools affected the way in which these messages were communicated to schools in the absence of an Administrative Memorandum from the DES. For example, after receiving the draft of the LEATGS circular, Cambridgeshire wrote to Heads in June 1989 outlining the situation and adding

“Your National Curriculum Development Plan will be part of your School Development Plan, and it is the latter which will be submitted to the LEA.”

A list of other suggested features followed that schools might wish to consider including in their school development plan. These were :

“ Teacher appraisal; Assessment and Testing; Planning and INSET for LMS; Governor Training needs; Catchment area needs, e.g. for record keeping activities, progression etc.; Retraining requests; Implementation of local policies e.g. IT., Science, Multi-cultural education; TVEI; and other community and local considerations.”

Inspectors, advisers and other officers in many LEAs worked with Heads and teachers to prepare in-service and support materials to help schools to overcome the pressures resulting from the multiple initiatives in the 1988 Act. The extent of this support is considered in chapter 6.

In their report on the funding of INSET in 1988-90, HMI wrote that

“LEAs are not required to devolve money from specific grants to schools and colleges but the majority chose to devolve a portion of their INSET budgets “ (para 69) and that

“All LEAs have designated an inspector, adviser or officer with responsibility for INSET. Efficient management was found where the LEA had a member of the senior management team in overall charge of INSET “ (para 61) DES 1991d

By the time of the 1992-3 circular, 1st July 1991, the wording of the 1988 question and the 1989 expectation had become reinforced..

“ The Secretary of State takes the view that decisions on the use of Activity 7 funds (National Curriculum and Governor Training) should as far as is practicable be delegated to schools. LEAs are asked, therefore, to say when bidding how far and in what ways they propose to delegate such decisions to schools, and, where they are not delegating decision-making fully, to give a full explanation of the reasons for not doing so. Bids should take account of needs identified in curriculum or school development plans.”

Unfortunately, the DES had either wasted several opportunities to promote school development planning, or had decided that such guidance about management style would be inappropriate. Among the wide range of circulars and administrative memoranda issued between 1988 and 1992, the concept of school development planning is signally absent. Examples include 8/90 on pupil progress and Records of Achievement; 6/91 on Open Enrolment; and 9/91 on Examination Results. Similarly, other publications such as “HMI in the 1990s” ; the letter dated 4th July 1990 on the Management of the School Day; and the Education (Schools) Bill 1991 all ignore the potentiality of a

process which was becoming increasingly widespread as a result of the pressures from resource, curriculum and INSET implications of the 1988 Act.

However, the DES funded a major project on school development planning, led by David Hargreaves and David Hopkins. The project's publications clarified a rationale and processes and were distributed to all schools and LEAs. (DES 1989e and 1991b). These have been complemented by a fuller subsequent publication (Hargreaves and Hopkins 1991) that provides advice and guidance based on the experience of the project. They emphasise that school development planning is all about empowering the school to ..

“respond to the challenge of change by recreating its own vision, by redefining management to support change and by releasing the energy and confidence to put its ideas into practice.”

The relevance of needing an effective process of school development planning in place so that the increasingly autonomous school can handle the changes introduced in the legislation in 1992 and 1993 is clear, and will be considered in later chapters.

Hargreaves, Hopkins and others also trace a clear relationship between school development planning and the research into school effectiveness and school improvement, which is the focus of the next chapter.

Chapter 4

SCHOOL EFFECTIVENESS, IMPROVEMENT and PERFORMANCE INDICATORS

1. Introduction

"School development planning" has brought theory and practice together, to the mutual benefit of specialists in either focus, but this can lead to confusion over terminology that developed in various contexts.

The use of the terms "effectiveness", "improvement", "reform" and "restructuring" have become associated in the relevant literature with specific areas of research and development. In general, where a distinction is drawn, the literature on "effectiveness" tends to focus on the educational goals, whereas that on "improvement" includes setting the goals as part of a process. "Reform" tends to be used in a global sense, whereas "restructuring" usually refers to a reorganisation of a system or group of schools.

Different national contexts also affect the use of each term. In some of the States, the findings of effective schools research has been seen as a panacea and incorporated into school improvement policies and programmes (Purkey & Smith 1985). However, the focus of the research had been on the goals rather than on how an effective school "got that way" or whether it stayed effective. (Fullan 1985, 1991).

In a thorough comparison of the literature on effectiveness and improvement, Stoll (1992) has compared definitions, origins, aims, research designs, key findings, models, and theories of the two emphases. She has considered attempts to link the two paradigms and concluded that they complement each other, as "the shortcomings of each approach are counterbalanced by the strengths of the other." (p.48)

Many aspects could be included in any review of change factors in schools, ranging from the impact of legislation to the impact of the family. This chapter summarises the literature about the shifts in understanding that have taken place over the last 15 years, particularly in England and Wales. As Mortimore (1991b p.10) has pointed out, most of the research studies on

school effectiveness in England and Wales have been in the secondary phase, in contrast to the United States, where the focus has been on the elementary phase.

2. 1977-82

In 1977, HMI produced a leaflet entitled "Ten Good Schools" based on an "informal small-scale survey of some aspects of the life and work of ten secondary schools in the summer term of 1975". It had a significant effect in raising awareness that some schools were being considerably more effective than others in helping pupils to develop.

"The evidence suggests that "success" does not stem merely from the existence of certain structures of organisation, teaching patterns or curriculum planning, but is dependent on the spirit and understanding that pervades the life and work of a school, faithfully reflecting its basic objectives." DES 1977b (p.7)

"What they all have in common is effective leadership and a "climate" that is conducive to growth. The schools see themselves as places designed for learning; they take trouble to make their philosophies explicit for themselves and to explain them to parents and pupils; the foundation of their work and corporate life is an acceptance of shared values." (p 36)

In the following year the NFER published the results of a research project based on the prior achievement of a sample of students in 44 schools. (Brimer et al 1978). Although measures of parental occupations and educational levels were used as controls for differences in home background, differences between schools still emerged.

The DES initially set up the Assessment of Performance Unit in 1974 to monitor under-achievement, but by 1976 the aims had widened:

"The first task of the APU is to identify and define standards of performance pupils might be expected to achieve through their work at school.

Next, it has to find generally acceptable ways of measuring and assessing pupils' achievements against these standards and decide at what ages assessment could be done.

To do this the APU has to look at the existing techniques for measurement and, where there are no suitable techniques already, to get new ones developed and tested."

DES 1976

The approach used by the APU was light sampling, with the names of children and schools unknown to the researchers, so the results could not be

used to judge individual schools or teachers. However, there was some concern that assessment might become used by LEAs in their monitoring role and by the DES to introduce an assessment-led curriculum :

"..The next concern was that the APU might encourage LEAs to indulge in 'saturation' or 'blanket' testing with a view to making judgements about the effectiveness of institutions. The 1977 Green paper suggested that tests suitable for monitoring in LEAs were likely to come out of the work of the APU.... though blanket testing is widespread, the uses to which results are put do not look nearly as harsh as many teachers had feared"

Gipps & Goldstein 1983 p.12

In this period the links between pupil assessment and curriculum issues became increasingly focussed on school effectiveness and accountability.

The publication in 1979 of the report of the team led by Rutter entitled "Fifteen Thousand Hours" was a significant milestone in the profession's appreciation of the variables that lead to youngsters making more progress in some schools than in others. The research focussed on twelve secondary schools in Inner London, and considered the effects of a much wider variety of factors than the NFER project. This "constellation of factors" was later referred to as the school's ethos.

In 1982 Reynolds published the results of research which had examined the impact that different schools in a Welsh mining community had on students' attendance, attainment and delinquency over six years.

Interest in school effectiveness was also gaining momentum in other parts of the world. In summarising developments at this time in the USA, Mortimore (1991) identifies among others the importance of Weber (1971 and 1974), who published work that underlined the importance of leadership in schools in New York; Madden, whose work in California was concerned with attitudes and the use of time; Brookover and Lezotte (1977) in Michigan on the effect of the behaviour of staff and Principals on school effectiveness; and Edmonds and Fredericksen (1979) whose work led to the development of a school improvement project in New York.

On the negative side, Nisbet published "The History of the Idea of Progress" (1980) in which he concluded that there was more evidence of general deterioration in American society than of progress or improvement. Lezotte (1989) has criticised the American approaches to improving schools at this time through mandating change and then blaming Principals for lack of success.

3. 1983 - 87

In 1983 Dalin and Rust published "Can Schools Learn" as part of the IMTEC network mentioned in chapter 3.3. The work on Institutional Development Programmes helped the development of Institutional Development Plans in Enfield in 1985 (Goddard & Leask 1992 p 166) and linked with the development of the GRIDS approach to school review. (McMahon 1984)

Also in 1983 ILEA's publication of "Keeping the School under Review : the Primary School" and Gray's work on performance indicators were raising awareness of effectiveness issues in the context of whole school review.

By 1985, Purkey and Smith summarised the factors perceived by research projects in the USA as underpinning effectiveness. They identified these as:

- ~ curriculum-focused school leadership
- ~ supportive climate within the school
- ~ emphasis on curriculum and teaching
- ~ clear goals and high expectations for students
- ~ system of monitoring performance and achievement
- ~ ongoing staff development and in-service education
- ~ parental involvement and support
- ~ LEA support

Also in 1985, Fullan identified four process factors that "infuse some meaning and life into the process of improvement " and " lubricate the system and fuel the dynamics of interaction" : a feel for the process of leadership; a guiding value system; intense interaction and communication; collaborative planning and implementation.

The DES published the White Paper entitled "Better Schools" in 1985. In retrospect, this probably had less impact at the time among schools and LEAs than it deserved. The quality issues were clear, but subsequent action was most evident among schools that were already aware of the issues. The DES style and language of the paper did not penetrate the areas of the British system that most needed it at the time. In spite of Secretary of State Sir Keith Joseph making a significant speech at the North of England Conference to launch this initiative, the links between this political initiative, research and practice in schools needed to become more explicit to generate change. The accelerating impetus that led to Sir Kenneth Baker's 1987 speech and the 1988 Act had begun.

A different perspective on effectiveness had a considerable impact on schools and LEAs in the following year, when the Audit Commission published "Towards better management of secondary education." The contrast in style with "Better Schools" and with most of the current literature on school effectiveness and improvement was marked. The focus of the report was on the management of the £3 billion spent annually on teachers salaries and pensions, whereas the focus of "Better Schools" was on raising standards.

The brief for the Audit Commission came from the Local Government Finance Act of 1982 rather than from the Education Acts, and the phraseology is concerned with resources rather than learning. This Act required the auditors appointed by the Commission to satisfy themselves that authorities have made "proper arrangements to secure economy, efficiency and effectiveness in the use of resources."

The research was carried out in 1984-5 in 12 LEAs, involving 74 schools, and auditors' reports from a further 55 LEAs.

"The Commission is deeply disturbed at the situation ... there are many indications that radical reform of the way teachers are managed is now overdue, quite apart from the prolonged industrial dispute" (para 4)

Two aspects of the context should be mentioned, as they impinged on the Commission's "economy, efficiency and effectiveness" issue in different ways. One was the need to accelerate the reduction of surplus places in secondary schools :

"Resources that are now invested in under-utilised land and buildings - and teachers - could be redeployed to improve teachers' relative pay and to provide the kind of buildings and equipment appropriate to the needs of the 21st century." (para 7)

The other was an awareness of the more extreme situation in the United States. In 1983 the report of the National Commission on Excellence in Education "A Nation at Risk : the Imperative for Educational Reform " had concluded that

"the educational foundations of our society are presently being eroded by a rising tide of mediocrity that threatens our future .. others are matching and surpassing our educational achievements." (p 5)

The OECD sponsored the International School Improvement Project from 1982-6. It was a decentralised project involving 150 people in 14 countries, working in 5 groups on school-based review, the role of school leaders, external support, research and evaluation, policy development and implementation. The project was concerned with developing strategies for

change that strengthen the school's organisation, as well as achieving curriculum reforms. (Van Velzen et al 1985)

The project's group on school-based review identified four features of review in schools from the basis of the GRIDS material (McMahon 1984) :

- ~ review needs to precede development
- ~ organisational processes matter, as well as curriculum substance
- ~ planning is fundamental to change, but the process of change is usually more capricious than intended
- ~ role differentiation aids planning, as it points out the problems of control, and assists in making the process more democratic and collaborative.

Hopkins (1990) has pointed out that

"when taken together, these characteristics of school-based review can affect climate or culture by making it more conducive to improvement and enhancing of quality".

Another group, on the role of school leaders, emphasised the need to plan and act within the context of policy, and that policy and planning provide a context and a direction.

In the same year Miles (1986) stressed that, although the passage of innovations may be predictable, each will have distinct characteristics and require different strategies for success to be achieved. He identified three stages that innovations go through :

- ~ Initiation stage - the innovation needs to be clearly articulated, have an active advocate, a forceful mandate, and be complemented by extensive training;
- ~ implementation stage - the change needs to be well co-ordinated, have adequate and sustained external support, have control increasingly spread throughout the school and provide rewards for those involved;.
- ~ institutionalisation stage - the change needs to be embedded in the school organisation, tied into classroom practice, have widespread use in the school and the LEA, and be supported by a cadre of trainers.

This was a dimension of the process that had not received sufficient attention in some of the earlier studies.

"Aspirations for school improvement need to be located within a dynamic and realistic conception of the change process. The effective schools literature, because of its approach to research, often neglects such a dynamic appreciation of the change process." (Hopkins 1990)

In the North American context, the work by Purkey & Smith and others showed how tenuous some of the links had been between the early research on school effectiveness and the school improvement programmes. The growing confidence in the impact of improvement programmes led to successful federal legislation:

" The switch from studies of school effectiveness to programmes of improvement that took place in the United States during the 1980s received a considerable boost by the amendment to federal legislation introduced by the Hawkins/Stafford 1988 Amendment to the 1965 Elementary and Secondary Education Act. This Amendment has enabled school districts to spend public money on a range of school improvement projects"
(Mortimore 1991b)

Staff development was also recognised as a lever for school improvement, for example by Stevenson (1986) in the USA and Hopkins (1986) in the UK

4. 1988 - 92

Fraser (1989) and Reynolds and Creemers (1990), in reviewing research in several countries, found that school effectiveness tended to be equated with student mastery of basic skills. In the UK, studies of effectiveness related to wider aims, and tended to focus on older students.

The main report of the Junior School project, carried out by Peter Mortimore and colleagues in London schools was published in 1986, and was disseminated more widely in 1988 under the title "School Matters". Differences in outcome were found to be related to variations in the school's culture, and it was found that concerted action by the staff could change the culture to an extent that could improve the achievement of the youngsters. Gender differences were also identified, but the significance of the quality of teaching shines through as the central issue in school effectiveness.

12 key effectiveness factors were identified:

- ~ purposeful leadership of the staff by the head
- ~ the involvement of the deputy head
- ~ the involvement of teachers

- ~ consistency amongst teachers
- ~ structured sessions
- ~ intellectually challenging teaching
- ~ the work centred environment
- ~ limited focus within sessions
- ~ maximum communication between teachers and pupils
- ~ record keeping
- ~ parental involvement
- ~ positive climate

In this study the changing climate in education and the increasing pressures on heads are recognised, with the deputy being seen as often providing stability.

"Where the head generally involved the deputy in policy decisions, it was beneficial to the pupils... delegation by the headteacher and the sharing of responsibilities promoted effectiveness."
Mortimore (1988)

A deputy head commenting on this has added the truism

"Good heads make good schools, but in the best schools, good heads are made better by good deputies" Rowley (1992)

Some of the measures in the Junior School Project were replicated and extended in Tizard's subsequent project based at the Thomas Coram Research unit. This study of 33 infant schools investigated the effects of schooling on the development of inner city pupils in London and was published in 1988. Both projects found that, whilst the child's home had a considerable influence on attainment, the school was significant in influencing progress.

In the secondary phase, Reynolds in the UK and Caldwell & Spinks in Australia also published significant papers in 1988. Closer links were being made between effectiveness factors and organisational issues within schools. For example, Rosenholtz (1989) refers not only to the outcomes of students' learning but also to teachers' in-service opportunities, certainty about instructional practice and commitment to their workplace.

In 1989 Desmond Nuttall published the results of a study in London secondary schools in which several dimensions of effectiveness and variations over time were identified. Nuttall's findings are consistent with those of the earlier studies. As will be mentioned later, subsequent work on multi-level modelling was to prove correct his statement that :

“ it is more meaningful to describe differences between schools for different subgroups. The concept of overall effectiveness is not useful.”

Nuttall et al 1989 p 775

The School Management Task Force in their report (DES 1990a) provided an accessible summary of earlier work on the characteristics of effective schools:

- ~ good leadership offering breadth of vision and the ability to motivate others
- ~ appropriate delegation with involvement in policy-making by staff other than the head
- ~ clearly established and purposeful staffing structures
- ~ well qualified staff with an appropriate blend of experience and expertise
- ~ clear aims and associated objectives applied with care and consistency
- ~ effective communications and clear systems of record keeping and assessment
- ~ the means to identify and develop pupils' particular strengths, promoting high expectations by both teachers and pupils
- ~ a coherent curriculum which considers pupils experiences as a whole and demonstrates concern for their development within society
- ~ a positive ethos : an orderly yet relaxed atmosphere of work
- ~ a suitable working environment
- ~ skills of deploying and managing material resources
- ~ good relationships with parents, the local community and sources of external support
- ~ the capacity to manage change, to solve problems and to develop organically.

In the same year Austin and Reynolds (1990) summarised the characteristics of effective schools in two groups, those concerned with organisational / structural issues, and those concerned with process issues.

The organisational / structural issues were identified as : site management; leadership; staff stability; curriculum and instructional articulation and organisation; staff development; maximised learning time; widespread recognition of academic success; and parental involvement and support.

The process issues were identified as: collaborative planning and collegial relationships; sense of community; clear goals & expectations commonly

shared; order and discipline.

Louis and Miles (1990) emphasised the importance of leadership and management in effective schools. They defined leadership as involving inspiration and direction, while management involved designing and carrying out plans, getting things done, and promoting good teamwork.

The Alexander Report also stressed the overarching importance of the style of leadership

" Effective headteachers have a vision of what their school should become. They will seek to establish this vision through the development of shared educational beliefs which underpin evaluative judgments, school policies and decision-making generally. The vision will have at its heart a clearly articulated view of what constitutes the school curriculum .. and of how planning, teaching and evaluation will be undertaken in order to ensure that the aims and objectives of the curriculum are translated into pupil learning. The result is the sense of purpose and direction so characteristic of successful schools"

DES (1992a)

Assumptions about change have been comprehensively summarised by Fullan, who recognised that "while school improvement is change, change is not necessarily school improvement" (1992). He recognised that individual and institutional renewal have to be pursued simultaneously and aggressively to overcome ..

"the huge negative legacy of failed reform that cannot be overcome simply through good intentions and powerful rhetoric."

Fullan 1991 p.354

5. Performance indicators at school level

It is difficult to show convincingly either that a school is adding value to a pupil's development, or that it is improving in any other way, unless some way of measuring the changes is feasible. School and support systems at local and national levels have long recognised the need to prove themselves to those to whom they are accountable both morally and financially. The term "performance indicator" implies easily quantifiable factors of output rather than the complex relationships involved in human development.

The potential of links between criteria for increasing a school's effectiveness

and performance indicators are only slowly being absorbed into local and central government in England and Wales. Concern at the potential misuse of bland indicators, whether at the level of comparing pupil attainment or performance-related pay for teachers, has led to less use of such indicators in this country so far than in systems that are more centralised.

The purpose of schools or LEAs identifying indicators has been summarised by Riley (1990):

- ~ Assess the effectiveness of their services
- ~ Set objectives about what they are trying to achieve
- ~ Formulate targets which relate to these objectives
- ~ Enable judgement to be made about progress in achieving those targets

In November 1987 OECD / CERI held an international conference on educational indicators, and identified three main clusters of indicators : Student assessment; Participation and attainment; and Schools and teachers (para 5)

Items rated as higher priority clustered into two areas : outcomes indicators on student learning performances, participation and completion; and indicators of school processes and curricular offerings. Items that were given lower priority at that time clustered into the area of socialisation, such as indicators of school delinquency or substance abuse at school. (para 29) Later developments under the OECD are considered in chapter 10.

Increasing interest in quantitative and qualitative performance indicators in the UK was stimulated by Circular 7/88 " Local Management of Schools " which included:

"... Governing bodies and headteachers will need to develop their own school-based indicators, with the advice and support from the LEA"; and

" LEAs will have to develop:

i. effective financial monitoring arrangements;

ii. appropriate management information systems in schools and centrally; and

iii. performance indicators for the financial and wider management functions of the governing bodies of schools with delegated budgets: these should be based on and take into account the indicators used by schools themselves." DES 1988b paras 151-155

In the same year a "consultation document" was produced by the Statistical

Information Service of the Chartered Institute of Public Finance and Accountancy (CIPFA 1988). This contained a large number of performance indicators for schools on the basis of six main themes : management of staff; management of curriculum and programmes of study; pastoral management; financial management; liaison with other agencies and the community; and management of information. The reaction to this from some LEAs and schools indicated that lengthy lists of performance indicators would be as short lived as checklist approaches to school review a decade earlier.

The Industrial Society held a conference in December 1989 entitled "What makes a good school" at which Minister of State Angela Rumbold spoke about "Performance indicators - their value and limitations":

"At the heart of the aims of any school must be the aim of effective learning by pupils. Performance Indicators can point towards the evidence that is needed to judge whether learning has been effective"
(para 64, summarised in Press release)

"...I consider the main purpose of performance indicators to be as a "management tool" for those people who are the managers and policy makers. At school level, this will be the headteachers and governing bodies. It is they who will have drawn up their school's development plan, they who will be exercising financial management and monitoring progress. It is they - and they alone - who can decide which indicators are useful management tools for this purpose."
(paras 34/5)

In December 1989 the DES issued a list of 50 indicators based on experience of a pilot programme in eight LEAs. The purpose of this exercise had been "to identify a range of indicators that schools themselves consider to be useful for their management purposes". Indicators were grouped into: basic data; context; pupil achievement; parental involvement; pupil attitudes; and management. Financial indicators were not included.

But by February 1990 DES Under-Secretary Hedger was stressing to a conference of head teachers that

"indicators are not intended to map every detail of the terrain, but to identify peaks and troughs and significant changes in the scenery"
(DES 1990)

He identified five principles

i. indicator systems are intended to illuminate the whole of the wood and not simply count the trees. A system is no good unless it enables you to look at output measures in the light of the resources available and the context in which you are operating.

ii. indicators are agreed starting points, not a substitute for professional judgment about what needs to be done.

iii. they must be related to the characteristics of what the school is trying to achieve, though... the school has no choice about the framework for many of its objectives...

iv. data for PIs should be quantities which are incontrovertible and unambiguous. Qualitative judgments ... can be turned into indicators according to agreed criteria; but the criteria must be explicit and capable of generalisation.

v. There should be as few indicators as possible... you need to cover

- ~ inputs (e.g. average class sizes)*
- ~ contextual indicators (e.g. pupils' attainment on entry)*
- ~ process (e.g. homework and the quality of the environment)*
- ~ output measures of attainment (e.g. customer satisfaction)*

This speech gave a helpful sense of proportion to the DES and CIPFA checklists, which had led to some confusion between the desirability of collecting a wide variety of background information and the need for concentrating on a limited number of performance indicators. The DES pilot study had shown that few schools could monitor more than about a dozen quantitative indicators in the early stages, so the selection of appropriate indicators was crucial. Linking such indicators with the school's key objectives in the main areas of performance - use of resources, learning processes and achievements - was clearly the key.

Researchers at Sheffield University were also finding that "too many questions drive out good answers" (Gray 1990) and encouraged the development of performance indicators that focus on three crucial issues (Gray and Jesson 1990) :

- ~ the educational progress of all the school's pupils whilst in its care*
- ~ the extent of pupil satisfaction that the school engaged, including, but not restricted to, staying on rates and attendance*
- ~ the quality of relationships between staff and pupils.*

The technology, skills and statistical techniques to analyse academic progress had developed significantly in the late 1980s, so it was becoming possible to differentiate between aspects of effectiveness both between and within schools. (e.g. Nuttall 1989, Jesson and Gray 1991, Hutchinson 1993, Sammons et al 1993). Multi-level modelling was being developed as a research technique and significant findings were emerging in this field, for example in being able to make comparisons across six LEAs (Gray, Jesson and Sime 1990). Subsequent research on performance indicators and

identifying ways in which schools add value include the Performance Indicators Project at Sheffield (Jesson 1992 a & b), the ALIS project at Newcastle (Fitzgibbon 1991), the Audit Commission (1992a,1993a) and the London Institute/Guardian analysis (Thomas et al 1992, 1993).

Assessing the other two factors - pupil satisfaction and pupil-teacher relationships - involve qualitative judgements on the basis of appropriate evidence. However :

" The assessments ..are no more complex than those which HMI are currently making on a routine basis... If HMI can do it convincingly, then surely other experienced practitioners can as well"
(Gray 1990)

Gray also recognised the importance of including a fourth dimension "to probe or cover those parts of the educational experience that performance indicators cannot reach" which are "moments of quality".

There was an awareness and a wariness of the experience of performance indicators in the worlds of industry and commerce. For example, a helpful paper by Lakin of Coopers Lybrand (1990) reminded a readership of headteachers of some of the limitations of performance indicators :

"i.- they are indicators of performance rather than direct measures of it. They do not tell the whole story and usually raise questions requiring further analysis rather than provide firm answers. This means they are open to misinterpretation and must be handled with caution.

ii. - they can affect behaviour as well as measure it. This can produce adverse side effects if the changes in behaviour are at the expense of other important areas which individuals know are not being measured."

The Society of Chief Inspectors and Advisers (1990) developed a matrix relating performance to achievement by considering the relationship of outputs and inputs (economy and efficiency) with intentions and achievements (effectiveness and entitlement). This was in contrast to arguments in the higher education sector, where Pollitt (1987), for example, had argued that the pursuit of performance assessment related to economy and efficiency might reduce effectiveness, professional development and collegiality.

There was some concern that enthusiasm for performance indicators was a bureaucratic tool that could become an impediment unless the central purpose of identifying success rather than failure was emphasised. Brighouse and Tomlinson (1991) suggest that, for a school to be successful it should :

- ~ be impatient to improve the educational progress and scholastic success of all its pupils
- ~ involve parents as closely as possible in educational and scholastic progress of their children
- ~ employ staff who are competent in a variety of classroom techniques, whole school activity, generous to children and intellectually curious
- ~ have pupils who, in their everyday behaviour, show that they think of others, eschew violence, and recognise their obligations.

HMI (1991) considered indicators in monitoring education in the USA, and found that their use appeared to contribute in five ways:

- ~ in accountability within the education systems, and to students and their parents;
- ~ in the effective targeting of resources by management at all levels;
- ~ in identifying means to raise student achievement;
- ~ in curriculum evaluation and improvement; and
- ~ in the monitoring of progress towards declared goals. (para 138)

6. Products and processes

Underlying this range of quotations from governmental and independent sources are two distinct traditions that will be mentioned further in chapters 5 and 10. Maurice Holt has linked these two modes to relationships between theory and practice developed by the philosopher McKeon (1952) :

“Orthodox rational management fits McKeon’s logistic mode, in which theory and practice are kept separate. Theory is the province of experts and is to be joined with practice by some ‘science of human action’. Deming, in contrast can be associated with the deliberative or problematic mode, which brings theory and practice together through a process of enquiry, so that solving practical problems becomes a task for all ...”

Holt 1993

The logistic mode is exemplified by goal-based strategies of school improvement that originate in the development of “scientific management” a century ago (Taylor 1895). Briefly, setting goals and achieving standards depend on mechanisms to achieve them. In an industrial or commercial context, outcomes and appropriate ways of achieve them can be identified, whether they relate to products or services.

Drucker considered that the idea of 'industrial engineers' carrying out systematic work study was the most effective idea of the century, and that it proved that both nineteenth century capitalism and twentieth century socialism was based on an unnecessary conflict of principles (Drucker 1969 p.255). Proponents of "outcomes-based education" extend the objectives-orientated approach by applying behaviourist arguments to defining learning outcomes for each student in each lesson.(King & Evans 1991).

The deliberative mode identified by Holt contrasts with this approach. He pointed out that Aristotle identified..

"a class of practical, moral problems that cannot be solved procedurally - that is, by the techniques of 'rational management'. I would contend that Deming's concept of process improvement is essentially Aristotelian and therefore offers particularly apt insights into education and the organisation of learning."

Holt 1993

Deming's focus on the individual company fits well with a school-centred approach, but less well with mandated national curriculum and assessment. He promoted trust rather than fear as the basis for accountability, and considered that the business experience of the traditional 'logistic' or rational-managerial model minimised change in organisations. Clearly this is an issue that is relevant to the management both of schools and LEAs, and the latter will be considered in chapter 10.

7. Conclusion

The effective schools research concludes that schools do make a difference, and there is broad agreement on the factors that are responsible for that difference (Hopkins 1991). However, Hargreaves (1991) has criticised some of the research on school effectiveness for its complexity

" Although there was clarity and consensus in the cases about the effective school correlates, there was little discussion about the nature of the process that leads to effectiveness. Nowhere in the cases was the process of translating the correlates into a programme of action sufficiently articulated."

Hargreaves (1991) p.110

The work of the DES project on School Development Plans led by Hargreaves and Hopkins encouraged action planning by schools and LEAs, as was mentioned in the previous chapter.

The different threads of effectiveness, improvement, performance indicators, monitoring and evaluation are all concerned with improving the quality of education. Education should cause a client / learner / pupil to add significantly to their understanding and development in a way that would not happen without such experience. Similarly, schools should provide an organisational context that causes pupils to progress further than they would otherwise. It is difficult to justify the deployment of resources for educational purposes if there is no "value-added" dimension as a result, however it is defined.

" Effective schools may foster greater progress than might be expected and non-effective schools will foster less" ... "An effective school is one in which pupils progress further than might be expected from consideration of its intake" (Mortimore 1991a)

Thus schools serving very disadvantaged populations can be more effective in meeting the needs of their students than those failing to meet the needs of advantaged students. The requirement under the 1992 Education Act that LEAs will publish league tables of schools has brought the issue of "value-added" measures to the forefront. The use of examination and test score results with information about truancy rates and the destinations of school-leavers will be used as performance indicators. Such measures do not incorporate what the child brings to the school or the value added to the child's experience by the school or the LEA. This information has to be linked to other indicators of quality of teaching and learning. (Riley 1992).

The Guardian commissioned a survey of A level results (Thomas, Nuttall & Goldstein 1992). The publication of the results in the month before the initial national league tables raised the level of public debate about value-added issues and indicators of educational quality. In 1993 the government published a wider range of raw scores of examination results, including vocational qualifications, together with truancy levels. Although the Education Secretary and the Press emphasised again the need for caution and the scope for misinterpreting such raw scores, it appeared that the shortcomings of this approach were considered less important by ministers than the desire to be seen to be disseminating information. Again, the Guardian's publication of value-added scores from a self-selecting sample of 425 volunteer schools (Thomas, Goldstein & Nuttall 1993) illustrated the gap between the educational researchers and the civil servants.

Since the HMI publication of "Ten Good Schools" in 1977, research has contributed much to understanding of how schools can add value to students' experience and it is reasonable that this achievement should be recognised in published league tables. For example :

In a study of reading attainment in 49 schools we found that a fifth of the schools moved up or down 20 or more places when their value-added results were compared with average raw scores, and more than half moved between five and 19 places."

Sammons (1993)

Yet these professional insights take time to permeate political processes. The impatience of political pace, together with some commercial and industrial experience, tends to encourage indicators of effectiveness that are easily quantifiable. The accumulating evidence from researchers such as Thomas, Nuttall and Goldstein (1992), Thomas, Goldstein and Nuttall (1993), and Sammons, Nuttall and Cuttance (1993b) indicates the superiority of qualitative indicators that recognise the adding of value. This is relevant to a wide range of factors from the culture or ethos of the school to the quality of the teaching and the learning outcomes. Research into techniques that can identify such factors is developing at the same time as LMS in schools and changes in local authorities are increasing attention on value for money. Misleading data about school effectiveness will increasingly lead to inappropriate resource decisions, so the need for closer collaboration between politicians, researchers, LEAs and schools is vital.

Chapter 5

CHANGE IN SCHOOLS : EMPHASES IN IMPROVING QUALITY

1. The language of change

Although there is a considerable literature concerning the nature of being a professional and having a vocation, it is not intended to consider this here. However, a key attribute such people share is to develop and maintain excellence. In many occupations in this country, increasing specialisation and the accelerating pace of change has encouraged a tendency to codify and make increasingly explicit professional norms, criteria and procedures that were previously learnt while gaining experience. At the same time, researchers and other authors have refined and described skills and processes that appear to improve professional effectiveness.

The language used in this process of defining and refining terms is dynamic. Meanings shift between cultures in the dimensions of both space and time. For example,

*"in the educational worlds of North America and Britain the terms
"administration" and "management" have the opposite connotations."
(Murgatroyd 1993)*

Underlying the differences in usage are shades of meanings that communicate ideas to those who understand the context of the discourse. Increasing explicit accountability of professionals to "lay" parents, governors and politicians has made it important to communicate clearly about approaches to improving the quality of schools. For example the business manager may gain confidence in a new role as governor to use terms such as 'decentralisation', 'mission statements', 'empowerment', and 'competences'. The increasing popularity of studying for MBAs among teachers preparing for management roles in the era of LMS and GMS is likely to reinforce the development of links between phraseology used in business and education.

Individuals and groups of authors and teachers use a number of terms and concepts in this field, though most are sufficiently circumspect to add the rider that their approach is not the ultimate panacea.

Some yearn for the certainty of Taylor's "one best way" of so-called "scientific management" (1895), that linked product specifications with standards of output performance. The increasingly severe labour problems caused by a blind drive for efficiency-based routines led to Taylor having to account to Congress for the demise of productivity despite the adoption of his methods by most large organisations. (Wilson 1992) Deming's early work on "statistical quality control" contrasts with his later emphasis on replacing quotas and controls with trained leaders, and with the "human relations" movement in which Maslow and others emphasised the centrality of motivation. Each "movement" in organisational change attracts its passionate devotees that have become convinced of the potential for universal application of a particular recipe. Yet the interactions between the context and structure of the organisation, and the perceptions and behaviour of the individual are complex. Teachers are wary of universal remedies that originated in very different circumstances, especially when there is a lack of relevant and credible empirical evidence.

Occasionally rivalry breaks out between writers as claims and counter-claims for superiority are put forward, emphasising the hazards of navigating through the minefield involving the ownership and development of ideas. Those involved in such movements tend to stress differences rather than similarities. The particular emphasis works for them, and they have usually become very aware of the deficiencies of the others. Perhaps this is comparable to neighbouring communities that share many opportunities and needs, but are so aware of boundary disputes that they fail to appreciate the potential value of collaboration.

Four emphases are identifiable to illustrate this point:

School development

The development of the whole school as an organisation is the focus for those involved in school development planning, effectiveness and improvement, and total quality management.

Human resources

The development of adults responsible for aspects of the education system is the focus for proponents of staff development, in-service education, professional development, management development, leadership training and governor training.

Accountability

Justifying the deployment of resources is the prime concern of a wide range of functions such as the appraisal of teachers, the inspection of schools, the devolution of responsibility, the local management of schools and the development of performance indicators.

Teaching and learning

Classroom activity is the focus for those seeking to improve the quality of children's experience, particularly through curriculum development, testing and assessment, competency-based education, or outcomes-based education.

The emphasis varies in different establishments and in various parts of the country. In some cases the influence of an individual can be traced in their wake as they move between jobs. The situation is similar to that found by the Schools Council tracing common factors in the dissemination of curriculum development projects. (Schools Council 1974). Early participants in a pilot project that is later adopted locally tend to benefit from the experience of the pilot and initially display greater understanding than those who begin later.

2. Total Quality Management

One example of such a movement to illustrate the point is that of Total Quality Management (TQM), though a variety of emphases within TQM have developed in different contexts (Wilson 1992 p 93). In industrial organisations, the concept has helped many organisations to adopt strategies for change, such as quality circles (e.g. Robson 1982). Such change is achieved by permeating an organisation with a planned approach that focuses on a high quality of service to the customer. This is also emphasised by the President of the 'International Academy for Quality' which has been responsible for a ten-year programme of developing and monitoring the ISO9000 standard.

"The true experts in quality are the customers. TQM gets you in the door but it doesn't sell your product. I see companies that move forward on quality but then go bankrupt.." Times 28.10.93

In TQM the role of effective leadership is emphasised and hierarchical control is reduced, which would seem to fit well with professional / service organisations such as schools. However, even in the industrial sector, Wilson

(1992, p 96 - 103) has found from interviewing eighty managers linked with Warwick University that a range of reservations exist about TQM in practice. This includes concern about creating “evangelists” that can lead to

“fragmentation in any organisation between those who support the programme and those who view it with less enthusiasm” (p 101) .

Some school governors who have experienced such an approach in their employment have encouraged schools to adopt or adapt TQM. However, Wilson considers that

“there appears to be a general lack of empirical evidence of change programmes deemed to have been successful, in Britain and Europe at least.... The programmes are heavily derived from manufacturing organisations and experience and do not always translate directly into service organisations.” (Wilson 1992)

Such criticisms sometimes confuse TQM with earlier movements involving planning, notably Management by Objectives. Drucker (1977 p 336), for example emphasised that the whole organisation “ must be directed toward the performance goals of the business”. Exponents of TQM, such as Deming, were critical of the MBO emphasis on the excessive emphasis on outputs as indicators of efficiency.(Aguayo p 9). He encouraged the pursuit of high quality for longer term benefits, even if profits suffered in the short term. In his remarkable achievement in revolutionising management in several key industries in Japan in the late 1940s, Deming shifted the emphasis from products to people and processes. He also stressed that improvement mattered more than innovation.

Holt (1993) and Murgatroyd (1993) are among several authors who have drawn attention to the trivialisation of teaching and learning by the inappropriate use of test scores :

“Test results... are the equivalent of short-term profit, not long-lasting quality (which would be evident in students’ enhanced understanding)”

“Assessment bulks large in American schools as a measure of both teacher competence and system accountability. The evidence that grade related tests do more harm than good continues to grow, and Deming has rejected tests for schools as firmly as he has rejected them for business. For him, trust is vital, and most forms of accountability only undermine trust”

(Holt 1993 p.383 / 6)

Holt argues that the rational-managerial model ..

"has animated the entire school system (in the USA) ... and is inherently resistant to change...the goal-oriented line-management system is characterised by great inertia." (Holt p.388).

In the UK, the shift in the last five years away from continual to terminal assessment, the introduction of a national curriculum and assessment system, and the shift in accountability from local to national structures all seem to indicate a rejection of Deming's approach. The current reduction of resources for professional development will reinforce this tendency.

3. Underlying questions

The purpose of discussing TQM is to illustrate how many aspects of the school are involved in any movement or emphasis concerned with improving quality. The issues range from planning and leadership through the role and perceptions of governors, assessment and professional development in rapid succession. Yet each issue is likely to involve a range of value positions. The parent may value different attributes from the professional teacher. The perceptions and priorities of the headteacher, inspectors, local elected members, governors, and philosophers may differ to varying extents from either parent or teacher.

Consequently, it may be helpful to seek universal questions that can be applied at each level of educational policy and strategy. For example,

Who is the "customer" or "client"?

What is the purpose of education?

What resources are available?

How can we make the most of what is available?

Whatever the role or values of the questioner, there are unlikely to be clear and undisputed answers. The attributes that are valued in answering such questions are likely to include entitlement, empowerment, effectiveness, efficiency, economy and accountability. The processes involved in clarifying such attributes are likely to include a resource audit, internal evaluation by the constituent aspects of the school, and external review and evaluation by impartial inspectors. In identifying and meeting needs, structural reform may be necessary in some cases, whereas elsewhere a stable state or reinforcement of existing processes may be more appropriate.

4. Conclusions

In considering whether the similarities between such movements or emphases are greater than the differences, five common features are proposed:

Motivation

The promoter of an emphasis clearly needs to generate zeal in others. Their personal style may range from the “eureka” that will answer all the questions that one had not yet formulated, to implying that their approach will reach the parts of the system that others do not. Whatever the style, the effect on individuals or teams working with an effective motivator or process will be significant, regardless of the emphasis. Those that are not convinced by the motivator tend to become dismissive of the emphasis.

Systematic approach

The detail of each emphasis will tend to crystallise a set of experiences and insights in a way that the individual or group finds helpful. This should help in handling controversial or major issues, as well as mastering the implications of detail.

Peer support

As each approach is refined, the process involves much professional debate. Assumptions are challenged, deviations explored, and disincentives to change are considered. As a new niche in professional understanding gains increasing recognition, the innovators gain confidence in the value of the idea.

Institutional support

Formal recognition of an idea tends to be associated with resources of time, funds and political approval. Formal acceptance of the idea may be institutionalised without the idea becoming associated with particular promoters of it, or it may be unable to shake off a person-dependency. Individuals may wish to claim kudos from being involved in the development, or from the later promotion of a successful idea.

Integration

In time, a really successful innovation becomes so integrated with good practice that it becomes difficult to differentiate from other activities. This is

perhaps particularly true of management techniques. Texts that seem innovatory when they are published should quickly seem like common sense to experienced practitioners that implement their recommendations.

Examples of these five features emerge in considering the ways in which LEAs have approached school development planning. In most cases, guidelines for schools represent a joint effort by several inspectors, heads, officers and teachers. The influence of certain publications, such as the Hargreaves & Hopkins materials, is clear in some instances, though this was not evident in the schools involved in the ESRC project described in chapter 7. In other cases, the LEA's style of consultation and communication has constrained or enlivened the outcome.

Similarly, in considering the role of organisations between the school and central government in the wake of the 1993 legislation, the adjustments that schools, LEAs and universities need to make will test their skills and patience.

The major challenges and determinants of improvement in education surely lie in linking major policy shifts in society at large with well-researched strategic approaches that can optimise the likelihood of operational success. These changes may involve consolidation in some areas and radical innovation in others, but education at each level needs a new dynamic that incorporates political, managerial and professional perspectives. Making the most of the human condition should become increasingly feasible as technological advances increase the range of possibilities. Yet the desirable assets of lively minds and fit bodies as the norm for all ages seem as difficult to attain as economic health in this country as much as elsewhere.

The attitudes of leaders in every group are fundamental, whether the "group" is the family, the peer group, the school staff, the LEA or the government. Improvement involves a sense of purpose, a positive process and a sense of achievement. We need to find ways of collating such experiences to enhance the sense of purpose of those engaged in education, whether pupil, parent, professional or politician.

This theme is taken up again in chapter 15. Meanwhile, the next three chapters summarise the evidence from three surveys about the experience in LEAs and schools of 'making things happen'.

Chapter 6

NATIONAL SURVEY OF LEAs

6.1 INTRODUCTION

The aim of the survey

The aim of the survey was to find out the ways in which Education Authorities in the United Kingdom view the process of primary school development planning. The specific objective was to enquire about policy and practice in the translation of such views into support for schools in their planning. It was intended that the outcomes of this survey would contribute to the ESRC project on “The Impact of School Development Planning in Primary Schools” by providing a national context for the project’s findings in nine pilot schools in three LEAs. Chapter 7 follows with a summary of the outcomes of interviews with inspectors and officers linked with the pilot schools in those three LEAs.

Methodology

i. Critique

The decision to use a postal questionnaire to generate national data was taken in the knowledge of the potential advantages and disadvantages of using this approach. The challenge was to generate reliable national data in a cost-effective way. A significant benefit of a postal survey is the potential to collect data from respondents who are widely dispersed, as in this case. In particular there is potential for keeping costs down when the questions have been framed anticipating the style of analysing the data.

The potential disadvantages of postal surveys were also borne in mind. There was a concern, for example, that although multiple choice answers to closed

questions may be convenient to process, they may lead to significant issues being missed. However, a mixture of open and closed questions can help to redress the balance.

Oppenheim (1992 p.102) refers to another potential weakness of postal surveys as being that there is often no opportunity to correct misunderstandings, to probe, to offer explanations or to help the respondent. As is explained below, this issue was also faced directly. Other matters that were considered in the development of the enquiry form included the importance of minimising the length of the questionnaire by focussing on a few key issues, and most importantly, setting up processes so that the quality of the information was as accurate as possible. Bias that can arise from a low response rate was not a problem in this case.

ii. Explanation

A structured enquiry form was developed that would be suitable for circulation by post. It was screened by the ESRC project team to ensure that the questions would complement those being addressed in the project's subsequent interviews and classroom observations. In addition the form was piloted in three contrasting LEAs not involved in the ESRC project and it was then modified before being distributed.

The enquiry form was sent to the Chief Education Officers / Directors of Education in all 137 Education Authorities in the United Kingdom in February 1992. The Channel Islands were excluded following contact about the relevance of the enquiry to their situation. Every other authority responded, in spite of the pressures that have already been mentioned in the Preamble, which is a remarkable measure of the recognition by senior officers of the importance of school development planning in primary schools.

In most LEAs the form was completed by the Chief Inspector/Adviser or the senior Primary Inspector/Adviser. Their positive attitude to the enquiry was evident, both in the quality of the comments and in the quantity of locally produced materials that were sent. These are listed in appendix C.

A copy of the enquiry form is included as appendix D. In summary, the first three questions asked for basic data about the authority; the next three asked about policy and practice; two questions then asked about how the authority uses the plans; a further question asked about locally produced material; and finally there was space for comments.

Although a completed response was received from every authority, there were several examples of particular questions being left unanswered. While these represent a very small proportion of the data, the tables showing the results, included as appendix B, show where this has occurred. As can be seen in the notes accompanying the enquiry form, care was taken to give written help and this was supplemented with telephone calls and letters to individuals in the few cases where a reply indicated that understanding could be improved. This probably helped to minimise the number of incomplete responses.

Four reasons for not completing a question appear to be as follows. First, a specific question may not have been relevant to a particular part of the UK. An example of this was the reference to GEST and the National Curriculum, which do not apply in Scotland. Second, a particular LEA may choose not to reply because it is unwilling to reveal detail. This may be because its policy or procedures were not yet finalised (e.g. question 4 on LEA policy), or because it had not yet considered a particular issue (e.g. question 8 on planning processes). Thirdly, the respondent may not know what the appropriate response from the authority should be, and decided to return the form incomplete rather than to give possibly misleading information. Finally, the respondent may have unwittingly omitted a particular question.

The form included some grouping of issues and definitions that were adopted for the purpose of the enquiry. These were intended to ensure that misunderstandings about management issues were reduced:

<i>Curriculum</i>	<i>Teaching and learning styles; Curriculum materials and resources; Assessment, recording and reporting; Special educational needs; Policies, e.g. equal opportunities; Continuity between phases.</i>
<i>Staff</i>	<i>INSET; management development; Governor development.</i>
<i>Finance</i>	<i>Budget; LMS; management of resources.</i>
<i>Organisation</i>	<i>Administration; system development.</i>
<i>Premises</i>	<i>School environment; sites and buildings</i>
<i>Context</i>	<i>Internal - ethos; climate</i> <i>External - Links with parents, community, governors, local and national government.</i> <i>Communications: involvement; participation.</i>

The introduction to the enquiry form emphasised that comments would be valued, whether the authority had a well developed system of school development planning or no activity in the area at all. Authorities were also assured that their individual responses were confidential to the research team

and would not be identifiable in published reports of the outcomes of the project.

Although a thesis is not strictly a published report, it becomes available on loan, and so it could be argued that it enters the public domain. The University of London does not allow permission to be withheld to consult, borrow or copy theses on the grounds that they contain sensitive or confidential material. The dilemma has been faced by using a numerical key to the responses made by individual LEAs, and by excluding maps, so that the assurance made in the original enquiry form can be sustained. The author apologises to readers who find that this obfuscates descriptions of detail. It was considered unnecessary to anonymise statistical data that is publicly available elsewhere, such as the number of schools in the LEAs, or the list of materials produced by LEAs, included as appendix C.

Distribution of Primary Schools and LEAs

The following figures relate to the 135 LEAs in the United Kingdom. The responses to each sub-question on the enquiry form are given in separate tables in appendix B. The wording in the enquiry form is included therein.

		<i>LEAs</i>		<i>Schools</i>	
		<i>N</i>	<i>%</i>	<i>N</i>	<i>%</i>
England	Counties & Islands	41	30	12,951	52.1
	Metropolitan Districts	36	27	4,407	17.7
	London Boroughs	33	24	2,091	8.4
Wales	Counties	8	6	1,841	7.4
Scotland	Regions and Islands	12	9	2,524	10.2
Northern Ireland	Education & Library Boards	5	4	1,042	4.2
United Kingdom	<i>total</i>	135	100	24,856	100

The number and proportion of LEAs responding to each question is shown, but the figures have not been weighted to recognise the various sizes of LEA, which range from 1 to 1065 schools.

In this table, Belfast, which categorised itself as a metropolitan district, is included under Northern Ireland rather with the other metropolitan districts.

Quantity and types of schools

Respondents were asked to include all LEA schools with children aged from 3 to 11, excluding schools that had received the Secretary of State's approval to change to GMS status. Middle schools deemed primary and special schools were identified separately.

Table 3 in appendix B shows the considerable variation between the number of nursery and primary schools in LEAs. The divisions are imprecise, as the integration of Special Schools into mainstream varies in different parts of the country, affecting some LEAs near the boundary of each category.

Grouping of authorities by size

An approximate grouping into six categories is feasible along the following lines:

		N	%
1. Rural authorities			
	with less than 150 primary schools	12	9
2. Urban authorities			
	Metropolitan Districts		
	with less than 150 primary schools	29	22
	London Boroughs		
	with less than 150 primary schools	33	24
3. Authorities	with 151 - 250 primary schools	26	19
4. Authorities	with 251 - 350 primary schools	22	16
5. Authorities	with over 351 primary schools	13	10

Analysis of the data according to the size of the LEA was found to be less significant than might be expected, as will be mentioned later.

Grouping of authorities by geographical region

Analysis of the data included a consideration of the relevance of regional similarities and differences both within England and between England and other parts of the United Kingdom. Although it was interesting to consider the LEAs in each region, the differences proved to be insufficiently significant to be worth presenting as a separate chapter. The following table outlines the spread of schools and LEAs in the regional distribution that was used.

<i>Regions</i>	<i>Counties</i>	<i>Metropolitan Districts</i>	<i>Schools</i>
North	8	29	6255
<i>Northern</i>	4	5	1468
<i>Yorks/Humber</i>	2	9	2136
<i>North-west</i>	2	15	2651
Midlands	12	7	4910
<i>West Midlands</i>	4	7	2185
<i>East Midlands</i>	5		1813
<i>East Anglia</i>	3		912
South East	11	0	4095
<i>north of London</i>	6		2093
<i>south of London</i>	5		2002
London	0	33	2091
<i>Inner Boroughs</i>		14	830
<i>Outer Boroughs</i>		19	1261
South West	8	0	2062
Wales	8	0	1841
N.Ireland	5	0	1042
Scotland	12	0	2524
Islands	2		36
<i>Isle of Man</i>	1		32
<i>Scilly Isles</i>	1		4

Regional descriptions

Section 6.2 gives an overview of the system in England and Wales, together with the Isles. Occasional reference is made to Scotland and Northern Ireland. Wales is sufficiently distinct, with a separate Welsh Office, and yet is an integral part of the joint system of England and Wales. So section 6.3 considers the data from Wales as an example of part of this system.

Scotland is then considered in section 6.4 and Northern Ireland in section 6.5. The summary tables are included as appendix B at the end of the thesis.

6.2 ENGLAND, WALES and the ISLES

NATIONAL CONTEXT

The Department for Education is responsible for implementing policy in all aspects of education in England, and, through the Welsh Office, in Wales. The provision of schools is the responsibility of local education authorities.

"The Department is concerned with educational standards and objectives and develops policy on those, but it does not exercise control over either the content of education or teaching methods."

Rusbridge (ed) Municipal Year Book 1991 p.898

In view of the added powers for the Secretary of State that are incorporated in the 1992 and 1993 legislation, phrases such as "the distinctive feature of the British educational system is the considerable degree of decentralisation" and "The primary function of Her Majesty's Inspectors is to advise the Secretary of State on the effectiveness of the educational system" carry less weight than in the past.

The 21,290 nursery, primary and special schools are in 118 LEAs. Chapter 6.2 described the degree of variation between LEAs in England on the basis on size, regional location, and type of authority. There is no clear correlation between these factors and the various approaches to development planning.

As with the other parts of the UK, national government has not mandated that school development plans are required, though LEAs are required to ensure that schools have planned how to introduce the national curriculum and how to deploy grant-related in-service resources. Consequently the great majority of LEAs have ensured that the process is in place, and all but three have provided guidance to schools.

Channel Isles

As has been mentioned in section 6.1 above, the Channel Isles were not included in the survey, following correspondence with the two authorities.

Isle of Man

The 32 primary schools in the Isle of Man come under one education authority, which indicates most of the characteristics of a well organised small LEA in England. While it encourages development planning and incorporates it in its monitoring processes, it does not require plans to be approved, or analyse them extensively.

Isles of Scilly

The 4 primary schools are administered by the Council, which has the powers and duties of a County, District and Parish Council under the Local Government Act 1972 and the Isles of Scilly Order 1978.

LOCATION OF LOCAL AUTHORITIES

Small rural authorities

Only 3 rural counties in England and Wales have less than 150 schools, namely Northumberland, the Isle of Wight and Powys, together with the Isle of Man and the Scilly Isles.

Urban Areas

The largest urban region is in the north-west, where there are 24 Metropolitan Districts. These range from the smallest with 64 schools to the largest with 228. 7 of the Districts have between 151 and 250 schools, the other 17 having 150 or less.

London has smaller administrative units, with 33 boroughs. The smallest has only 1 primary school, and the largest has 104. Inner London was co-ordinated under a single authority until the 1988 Education Reform Act.

The West Midlands includes Birmingham, which is bigger than any 3 other metropolitan districts in the region, and with 350 schools is comparable with a large county. The conurbation includes 6 districts other than Birmingham, ranging from 70 to 116 schools

Tyne and Wear contains 5 districts, with a number of schools comparable with counties such as Derbyshire, Staffordshire or Nottinghamshire.

Counties with 151 - 250 schools

Two thirds of these 15 authorities have over 200 schools. Apart from Cleveland, they are mainly in the south of the country, almost forming a band of adjacent authorities from Gwynedd through Clwyd, Shropshire, Warwickshire, Oxfordshire, Buckinghamshire, and Bedfordshire to Suffolk. Further south, this category includes West Glamorgan, Somerset, Dorset and West and East Sussex.

4. Counties with 251 - 350 schools

Cumbria and Durham are adjacent authorities of this size in the north. In the East Midlands, Humberside, Lincolnshire, Leicestershire, Northamptonshire, Cambridgeshire and Norfolk are adjacent authorities in this category. Further south, Surrey, Berkshire, Wiltshire, Gloucestershire, Hereford/Worcester, Gwent, Mid-Glamorgan, Dyfed and Cornwall are also in this category.

5. Counties with over 351 schools

In the North and north Midlands the counties adjacent to the conurbations are in this category, namely Lancashire, North Yorkshire, Cheshire, Staffordshire, Derbyshire and Nottinghamshire. Similarly, to the north and east of London, Hertfordshire, Essex and Kent are included. Elsewhere in the south, Hampshire, Avon and Devon are also in this category.

PREVALENCE

qu.4.1 Does your LEA have a policy that all primary schools should have School Development Plans?

The response to this question is shown in table 4.1 in appendix B.

Although those replying in the negative to this question were from Scotland, shortly after this survey was carried out the Scottish Office issued their extensive support materials for school development planning. This is considered in chapter 6.4, and the picture throughout the UK is probably now more consistent than it was when the enquiry forms were completed and returned.

The response to this initial question indicated that the norm in England and Wales is for LEAs to expect primary schools to have school development plans. Two LEAs indicated that this was not formally a policy as part of the formal culture of the LEA, and this issue is picked up in later responses.

The notes accompanying this question stated "The use of the term 'policy' here is intended to include written guidelines and strategies supported by Chief Officers, rather than relating only to policies that have been formally agreed by Elected Members of Authority Committees." The negative and non-response may indicate :

- ~ that respondents did not refer to this note, which was printed with others on the back page of the form; or
- ~ that the term 'policy' was not generally used for guidance documents in that authority; or
- ~ that they were not clear about the formal status of the guidance in their authority.

In some areas, the term 'policy' is only used where formal agreement has been achieved from the Education Committee. In others, it is used as an umbrella term to cover any approach that has been approved by the Chief Education Officer. Several respondents commented that the LEA, particularly the inspectors/advisers, strongly encouraged such planning but that it was not mandatory.

**Qu.4.2 If so, (i.e. if your LEA does have such a policy)
when was this policy first implemented?**

The response to this question is shown in table 4.2 in appendix B.

4.2.1 *Before 1988*

The scattered distribution of the first LEAs to develop this aspect may be the result of a variety of factors:

- ~ the significance of early work in ILEA;
- ~ a few individuals had a significant effect on their LEAs;
- ~ where there has been mobility among relevant inspectors/advisers and officers who were involved in early developments. Some other LEAs may have been wrongly omitted from the early stage by respondents appointed more recently.

The counties in this first cohort tended to be larger (3, 23, 35) together with a few urban areas such as 93, 102 and 77.

4.2.2 *1988-9*

The impact of the initiatives in the 1988 Act on planning were considerable, particularly the introduction of the national curriculum in England and Wales, as was mentioned in chapter 2. Although the DES encouraged the introduction of national curriculum development plans, it did not *require* schools to have such plans.

At this stage there is no correlation between the size of the LEA and the date of introducing such planning. The three smallest counties, 34, 37, and 25 feature alongside large LEAs such as 21, 46, 6, 27. The middle ranges of LEA size are also well represented, including 31, 19 and 38.

In the urban areas, 7 London boroughs indicated that they began or took up the ILEA work at this stage. In the Greater Manchester area, 4 of the 10 metropolitan districts also started.

The impact of networking across LEAs on promoting initiatives and shifting attitudes was recognised by the DES when funding for collaboration between LEAs was incorporated in the early stages of the GRIST/LEATGS/GEST funding. The effect on the introduction of school development planning in the Greater Manchester area may well be linked with this, as grant aid was used in that area to employ a regional co-ordinator to promote such collaboration.

4.2.3 1989-90

It is noticeable that in the following school year, development planning was introduced in adjacent LEAs. In several cases, inspectors and advisers were accustomed to meeting together, for example on in-service issues. In East Anglia, the EASTER group included 2, 5 and 42 that started in this year, joining 23 and 31 that had begun earlier. Similarly, in the East Midlands group, 41, 11, 28 and 29 started in this year, joining 35 that had begun earlier.

In the south, 12, 13, 47 and 1 began, though 39 and 9 did not. In Wales, 30 and 40 also started. In the north, 10 and 14 began. A pattern emerges relating to adjacent counties regardless of their size.

There was a steady growth among London boroughs, including the adjacent boroughs of 97, 114 and 109. The growth in the metropolitan districts was more pronounced in this year, with about half of the districts starting such planning. The result was that the majority of districts in all the conurbations except the West Midlands had introduced such planning by the end of this period.

4.2.4 1990 - 91

The West Midland group began together, except for 49, which differs significantly in size from the others. Another group of adjacent LEAs to the south and east of London also began at this stage, including the counties of 17, 26, 43 and 16, and the London boroughs of 99, 84, 86, 88, 106, 113, and 91. On the north and west side of London, 116, 89, 85, 98, 96 and 101 also began.

In the northeast, the adjacent counties of 7, 32, and 24 began in this period; in north Wales 20 and 8; and 36.

4.2.5 1991 - 92

Finally, in the year in which the enquiry took place, the remaining authorities embarked on this. The adjacent midland and southern counties of 4, 44, 18, 39, 16 and 9 began, as did the London boroughs 111 and 112.

There were several comments from respondents to the effect that such policies were currently being considered, but that LMS has led LEAs to reduce the introduction of new policies in non-mandatory areas. The LEAs that do not have policies in this area are 105 and 80. 45 was developing a policy at the time of the enquiry.

4.2.6 *General comment*

Groupings of adjacent LEAs often appear to have begun such planning in the same year. Communication between LEA staff in adjacent LEAs has been encouraged by the DES through the INSET circulars in this period. In the early and late stages of such a development, it seems likely that individual inspectors, advisers and officers had a considerable influence over whether school development planning was encouraged in primary schools. This led to some welcoming and others resisting the change in LEA policy, and subsequently influencing neighbouring LEAs.

The identification of opinion leaders in this innovation is beyond the scope of this enquiry, but subjective remarks lead to the likelihood that they are networkers who communicate well within their own authority, across LEA boundaries, and with those in other roles such as HMI, higher / further education, and commerce, industry and other professions.

4.3 What proportion of schools have school development plans for 1991-2?

The response to this question is shown in table 4.3 in appendix B.

This question required a high level of knowledge from the LEA respondent. Where a system was well developed this would have posed little problem, but the replies indicate that school development plans were in place in the majority of the LEAs in England and Wales in 1991-2. In Scotland there have been considerable developments since the enquiry.

The LEAs that indicated in response to this question that they were at an early stage were:

Half of the schools :	16, 86, 98
One Quarter :	18
None of them :	45

Except for 86, which started in 90/91, the other LEAs began in 91/92.

CONTENT

Qu.5.1 Has your LEA provided guidance to primary schools about the content or process of school development planning in primary schools?

The response to this question is shown in table 5.1 in appendix B.

All respondents except 3 Inner London boroughs and 2 Scottish regions had provided guidance. As schools in these authorities would have received guidance from ILEA or the Scottish Education Department, it seems likely that schools in every authority would have had access to some guidance.

5.2 Is there an expectation that any of the following should be included : curriculum; staff; finance; organisation; premises; context?

The response to this question is shown in table 5.2 in appendix B.

The notes on the enquiry form gave the following examples of the management issues that were anticipated under each heading, and the definitions were quoted above in chapter 6.1.

5.2.1 *Curriculum*

The introduction of the National Curriculum in England and Wales was accompanied by an expectation at national level that this would be phased. It was envisaged that the NCC and SEAC would announce their timetables; LEAs and others would organise strategically phased INSET; then schools would plan curriculum reviews, staff development and resources appropriate for operational delivery. In practice, this did happen to a considerable extent, though attitude and skill development took longer in some areas than in others.

The DES strongly advised but did not require the production of national curriculum development plans at both school and LEA level to handle the implications of the changes. This was referred to above in chapter 3 section 4.3. All the LEAs in England and Wales indicated in their responses to this survey that they expected schools to include curriculum issues in planning.

5.2.2 *Staff*

Similarly all LEAs in England and Wales included staff development issues. Comments on the use of this information are included under question 7, as there are distinct issues covered by this heading. The devolution of funding for INSET to schools is at various stages across the country, so for some this question concerns prioritising financial resources between competing claims in the school. For others, planning a coherent approach to staff development is within the context of using a fixed budget to gain access to a programme of INSET activities arranged by external providers. In some areas, provision for governor development is linked with aspects of management development. Some areas have close links with the higher education sector or others involved in personnel development.

It was clear from the replies that staff issues are considered as vital a part of planning as curriculum issues.

5.2.3. *Organisation*

9 of the LEAs in England and Wales that encouraged curriculum and staffing issues did not expect organisational issues to be included. With such a small number, the following correlations may be fortuitous:

2 of the 4 smallest LEAs are included - 135, 37

3 of the 8 Welsh LEAs are included - 19, 20, 37

The proportion was similar in Scotland.

The other LEAs are 16, 17, 60, 74, 87

There was no particular correlation with size. Applying the categorisation in question 3 to the LEAs in England and Wales, the LEAs not requiring organisation plans are:

1. Rural / under 150 schools	37, 135
2. Urban / under 150	74, 87
3. 151 - 250	20, 16, 60
4. 251 - 350	19
5. over 351	17

5.2.4 *Finance and Property*

The phasing of the introduction of LMS in primary schools has been later than that relating to the introduction of the National Curriculum, so it was expected that financial issues would not yet be included in many areas.

The LMS issue may also be illustrated by the type of LEAs that expect financial but not property issues to be included. These include some LEAs that are well advanced in LMS, but also have retained property services , such as 2, 5 and 26.

5.2.5 *Context*

The response from LEAs in England and Wales to this question contrasts with that in Scotland, where “ethos indicators” are now a dimension of the HMI materials on performance indicators and school development planning.

At the time of the enquiry, a quarter of the Scottish regions did not give details for the aspects to be included, which reduced the result disproportionately.

It may be that the use of the term in the enquiry form was unclear, despite the explanatory note; or that the potential significance is not appreciated; or that such information is considered more subjective and harder to collect and to use.

“Context” was excluded by the following LEAs in England and Wales. LEAs that are adjacent geographically, or are in the same metropolitan conurbation, have been grouped together :

Counties	13; 46, 16; 2, 23, 17, 42; 34; 19, 20, 37.
Metropolitan Districts	48, 55, 67; 50, 78; 54, 56, 73; 57, 74; 59.
London	109; 99, 84, 86; 91; 98, 100; 103

Once again, it is more common for adjacent LEAs to take a similar approach than it is for isolated ones. There is no close correlation with the year in which planning was introduced or with the size of the LEA.

INVOLVEMENT IN PLANNING

Qu.6.1 **Is there an LEA policy that any of the following should be involved in the planning process with the Headteacher?**

The response to this question is shown in table 6.1 in appendix B.

The use of the term ‘policy’ in this question led some LEAs, such as 67, to comment that ‘expectation’ would be a more appropriate term for their style.

6.1.1 *Headteacher*

Three LEAs indicated that no others were expected to be involved in the planning process with the Head - 17, 69 and 105.

6.1.2 *Deputy Headteacher*

Views of the role of the deputy headteacher in development planning appear to vary slightly. Three of the four smallest rural LEAs in England and Wales (135, 37, 34) and 120 in Scotland, and the largest metropolitan district (49) indicated that teaching staff, but not the deputy head, are involved. Conversely, 22 and 87 expected the deputy head to be involved, but not necessarily the other teaching staff.

6.1.3 *Governors*

The UK figure relating to the involvement of governors is lower because in Scotland this function is carried out by the School Board. The only English LEAs indicating that governors were not involved are :

Counties :	17
London boroughs :	84, 87, 105, 116.
Metro Districts:	54, 67, 69.

6.1.4 *Inspector / Adviser; Officer*

The relative functions of inspector/adviser and officer differ across the U.K.. In almost every LEA, where officers are involved, so also are inspectors/advisers. The exceptions are 133 and 130 in Northern Ireland and 135, where there is an advisory teacher for the 4 schools rather than an adviser. In the majority of LEAs that involve officers, there was an expectation that the LEA would approve the plan (see 6.2 below).

The responses to this question indicate that 72% of the LEAs (93/130) expect inspector/adviser involvement in development planning, as compared with 29% (38/130) expecting officer involvement.

6.1.5 *Non-teaching staff*

Less than half of the LEAs expected non-teaching staff to be involved in development planning. Although none of the LEAs in Northern Ireland

involved them, the pattern of response to this among LEAs in England and Wales was random with relation to size and location.

6.1.6 Parents

Parents are involved in development planning across a swathe of adjacent home counties from the south-west (39) to the east midlands (11), and of London boroughs from 114 to 88. Three London boroughs - 88, 94 and 95 - expect parents but not inspectors or officers to be involved. All the other LEAs that involve parents also involve inspectors / advisers.

Although only one quarter (27%) of the LEAs involve parents in the planning process, much of this is focussed in a few areas. Even where LEAs encouraged parental involvement in planning, as was the case in two of the three LEAs in the ESRC project, the evidence from schools suggests that involvement is rare in practice. Actual involvement is likely to be considerably lower than the responses from the LEAs suggest. The contrast between London (42%) and the other metropolitan areas (19%) is particularly noticeable.

Involvement of parents according to LEAs

			<i>no response</i>	
Inner London Boroughs	9 of 14	64%	1	7%
English Counties	13 of 41	32%	1	2%
Outer London Boroughs	5 of 19	26%	0	
Scotland	3 of 12	25%	3	25%
Metropolitan Districts	7 of 36	19%	1	3%
Wales	0 of 8	0%	0	
Northern Ireland	0 of 5	0%	0	

The representation of parents on governing bodies is incorporated in legislation, so the response to this question may imply additional involvement. In addition, where there has been a community education policy in the LEA, other community representation in development planning may be encouraged, as in 33, or not, as in 5.

One third of the LEAs that involved parents said that pupils were also involved, though one LEA indicated that they involve pupils and not parents

(63). One of the ESRC project LEAs was in this category, but again there was no evidence from the 3 schools being studied in that LEA that pupils were involved.

Qu.6.2 Do the plans have to be approved by the LEA?

The response to this questions shown in table 6.2.

As with the term “policy”, the interpretation of the term “approve” gave rise to several comments, such as:

“If we don’t approve we keep telling them!” “Approve non-delegated schools; delegated schools plans go via the LEA to the governors”; “shared rather than approved”; “discussed with rather than approved”; “they are school plans”; “advisers are involved in the formulation process”; “encouragement, not written policy”; “approval is implicit”; “approval is rather a strong term”; “not approved, but important in inspection processes”; “inspectorate expectations, not policy.”

Several respondents were aware of the changing relationship between the LEA and schools. “Policies” in non-mandatory areas no longer need to be “approved” since the advent of local management of schools. However, a significant proportion - 12% - chose not to respond to this question, although most had completed the previous ones.

Question 4.1 asked whether the LEA has a policy that all primary schools should have plans, and this question 6.2 asked whether the plans have to be approved by the LEA. As all but two of the LEAs in England and Wales indicated that there is such a policy, but only 26% indicated that the plans have to be approved, it would seem that, in England and Wales at least, the purpose of such policies where they exist may be to promote good practice more than to control the content of the plans.

5. ANALYSIS

Qu 7.1 Does the LEA collect the plans?

The response to this question is shown in table 7.1 in appendix B.

Only 3 of the 41 LEAs in England - 12, 18, and 32 - are willing to say that they do not collect the plans. 17 does not, but does collect the priorities. The 7 that expect a summary as well as the complete plans vary in size and time of starting such planning, but all are in the south except 6, 57 and 58.

Clearly, the majority of LEAs expect to be kept informed of the outcomes of the planning process. In England, a few LEAs (13%) expect both the priorities and the whole plan, but 18 percent more expect the full plan than only the priorities. (60% : 42%) All the Welsh LEAs expect the full plans. Twice as many metropolitan districts and London boroughs expect the full plans as compared with those expecting summaries.

Qu.7.2 Does the LEA analyse the plans?

The response to this question is shown in table 7.2.

Six LEAs do not collect or analyse analyse the plans: 12, 18, 95, 54, 70, and 80. The three metropolitan districts are all in the West Midlands conurbation.

“Partial analysis” is carried out by the majority of LEAs, but this could mean that LEAs do not analyse all the data that schools are expected to submit, for example that staff development data is analysed but premises data is not. Alternatively, it could mean that they sample the data across all the categories rather than analysing responses from all schools.

“Extensive analysis” varied with the size of the LEA, and was most common among the counties in England (42%) followed by London (39%), metropolitan districts (25%) and Wales (25%). Handling such analysis may require either a very small LEA or a larger one that has sufficient human and technical resources and structures to carry out such analysis and enable data to be integrated into its monitoring and support systems.

Qu.7.3 Are particular aspects analysed?

The response to this question is shown in table 7.3 in appendix B.

Reference was made in chapter 3 to the introduction of the national curriculum and the way in which LEAs were expected to ensure that schools planned to introduce it effectively. 80 percent of the LEAs in England and Wales reported that they analyse the extent to which this happens, and 56 percent of them include other areas of the curriculum as well.

Staff development follows closely behind, with almost three quarters of the LEAs in England and Wales analysing school development plans in connection with GEST funding bids (72%) and other staff development planning (70%).

Financial planning features in analysis by less than half of the LEAs (46%) and other organisational issues in less than a third (31%) which is lower than might be expected four years after section 33 of the 1988 Act required each LEA to prepare a financial scheme for LMS with provision for yearly updating. This issue will be considered in more depth in the context of the Birmingham survey in chapter 8.

Only a quarter of the LEAs analysed premises (25%) or contextual (24%) aspects of the plans. In the case of premises, the LEAs that are most and least advanced with the introduction of LMS may well ignore this aspect, either because they see this as a school issue or because their property divisions already have separate and well established ways of identifying maintenance and development priorities. The lack of analysis of context represents a wasted opportunity of considering the extent to which schools are incorporating LEA policies in their practice.

6. USE OF SCHOOL PLANS BY LEA STAFF

The responses to the following questions are shown in the tables 8.1 to 8.3 in appendix B. The following tables summarise use described as 'often' as opposed to 'occasionally' or 'never'.

Do LEA staff refer to school development plans and / or planning processes ~

Question 8.1 in inspections

		<i>Counties Eng.</i>	<i>Wales</i>	<i>Metro Dist's</i>	<i>Lond Bor's</i>	<i>Scot</i>	<i>N.Ire</i>
<u>Plans</u>	{ %	88	50	83	97	33	20
<u>Planning processes</u>	{ %	81	25	67	76	25	20

This table illustrates the variation in the role of the LEA inspector just before the changes under the Education (Schools) Act of 1992 that led to the establishment of Ofsted. The pioneering work in school development planning and inspection in the former Inner London Education Authority referred to in chapter 3 is evident in the 97% response to this question from the London boroughs, which include the former ILEA. The evidence that 86 percent of the metropolitan districts and counties were also using school plans for inspection 'often' is also significant. Only 4 LEAs - 2 in Wales and 2 counties - indicated that plans were never used for inspections, and half of these use planning processes but not plans. Apart from those in Scotland and Northern Ireland where roles differ, this indicates that the subsequent formalisation of Ofsted inspections, requiring the school plan as part of the background paperwork, is less of a novelty in most of England and Wales than it would be a few years earlier.

Do LEA staff refer to school development plans and / or planning processes ~

Question 8.2 as part of their monitoring of schools?

		<i>Counties Eng.</i>	<i>Wales</i>	<i>Metro Dist's</i>	<i>Lond Bor's</i>	<i>Scot</i>	<i>N.Ire</i>
<u>Plans</u>	{ %	95	75	86	88	50	40
<u>Planning processes</u>	{ %	83	38	67	76	33	20

'Monitoring' is a phrase that reflects the role that LEA advisers had for longer than the harder edged 'inspector'. In some of the less urbanised areas political and professional preferences led to a continuation of the role whereby the teachers' curriculum adviser is also the authority's adviser monitoring

standards. All LEAs in England and Wales claim to use plans to a greater or lesser extent as part of the monitoring process.

Do other LEA staff use school development plans ~

Question 8.3 as part of their support of schools?

		<i>Counties Eng.</i>	<i>Wales</i>	<i>Metro Dist's</i>	<i>Lond Bor's</i>	<i>Scot</i>	<i>N.Ire</i>
<u>Plans</u>	{ %	63	63	44	45	50	100
<u>Planning</u>	{ %	54	25	36	33	33	40

In areas where inspection and advice had already been separated this table indicates that, except in Northern Ireland, much less use is made of data from plans for supporting schools, which may require a range of types of information. Given the extent of curriculum and staff development data that the plans contain, this may represent a waste in the potential benefits of developing systems that could lead to better targeted support.

Comment

Taken together, the responses to these questions illustrate the different emphasis given by various types of LEA to the use of plans and planning processes.

The London boroughs responded that plans are normally used as a dimension of inspection. All but one borough uses plans often, and the exception uses them occasionally. They are also normally used in the monitoring process, though 4 boroughs only use them occasionally for this purpose. Only 45% of the boroughs use them often in determining their support for schools. The same proportion do so occasionally, but 3 (9%) do not.

In the metropolitan districts plans are used as much for monitoring as for inspecting, and the pattern of not using them nearly as much for advice mirrors that in London.

In the counties they are used for monitoring more than for inspecting, and more emphasis is given to using them in determining support for schools.

In Wales the emphasis in using plans is on monitoring, in Northern Ireland on support, and in Scotland on monitoring and support.

Planning processes are referred to in inspections and monitoring more by counties in England than by the London boroughs or metropolitan districts. Less use is made of reference to them as part of their support to schools or by the counties in Wales or the regions in Scotland or Northern Ireland.

Until the inclusion of planning in pre-inspection requirements, schools in LEAs that claim to use plans for monitoring or inspecting did not necessarily appreciate that such plans were being used as part of the accountability process. For example, most schools in the ESRC project considered that the role of the LEA in their development planning was not significant. Their views on the significance of informing the LEA about planning varied.

Clearly there is a divergence between the views of the 9 schools in the 3 LEAs that are involved in the ESRC project and the claims of the LEAs responding to the national survey. This may be due in part to the location of the 3 LEAs in London and the south-east, and in part to the gap between the perceptions of the LEA and the schools. This is considered further in chapter 14.

7. SUPPORT MATERIALS

The enquiry form invited LEAs to indicate whether any guidelines or INSET materials had been produced for primary schools, and for donations of copies where feasible. The quality and quantity received in response to this appeal was most encouraging, and a list of titles is included as appendix C rather than selective inclusion in the list of references. The issues are presented in a range of ways from skeletal suggestions to detailed guidelines. Most have been developed by working parties involving inspectors / advisers and heads, and in some areas teachers, governors and officers have also been thoroughly involved. Subsequent contact with some LEAs indicates that this is only a modest selection - some LEAs have produced extensive materials that are available on sale or only within the authority; others were in the process of revising earlier guidance or producing new materials. Some reflect an awareness of the research literature and developments elsewhere, while others are pragmatic responses to the need to promote the planning process, develop managerial skills, or obtain data in a more co-ordinated way.

Most LEAs have produced a considerable range of INSET materials and guidelines, many of which are relevant to school development planning. Some of these have been displayed at the HMI curriculum materials conferences in recent years, but the indications from the responses are that many more have been produced for specific purposes by 'extended professionals' and have had a short life before being superseded or stored for a while.

Most of this wealth of material has been produced by former teachers working as lecturers, advisory teachers, centre wardens, advisers, inspectors and officers in LEAs. Many teachers have worked on task groups and on long courses with such former teachers to develop such materials. Later chapters will return to the changing scene currently affecting this process.

6.3 WALES

1. GENERAL CONTEXT

Local Government and Education in Wales, except universities, comes under the Secretary of State for Wales. In 1972 the Local Government Act abolished the former 13 county councils. Glamorgan was divided into 3 new counties, and the other 12 were merged to create 5 new county councils, so the number was reduced from 13 to 8. They were named after ancient Welsh kingdoms. The 1993 Act reverses the process, and from 1995 the 8 counties and 37 district councils will become 21 unitary authorities, using some of the former county names. Powys will remain and not be divided into its three former counties, but it will be changed from a county to a district.

2. BRIEF SUMMARY OF RESPONSES TO THE SURVEY

Apart from LEA 45, which was starting school development planning during the enquiry period, adjacent LEAs in Wales began in the same year : the border LEAs 37 and 19 began in 88/9; the south and west LEAs 15, 30 and 40 in 89/90; and the north LEAs of 20 and 8 in 90/91.

There were similarities between the approaches of LEAs to development planning throughout Wales. All except LEA 8 involve inspectors, and none explicitly involve parents in planning, other than as governors. Most LEAs expect to approve plans, which is unusual in England. All collect the full plans, though only 8 and 15 claim to analyse them extensively. All the LEAs use them for monitoring the introduction of the national curriculum. The inclusion of Welsh in the national curriculum for Wales, and the distinct approach to curriculum change taken by the Welsh Office underpins a particular interest among LEAs in Wales to monitor the introduction of the national curriculum.

In general, Welsh LEAs use school development plans proportionately less for inspection and monitoring purposes than English LEAs, but more than LEAs in Scotland or Northern Ireland. The same proportion use the plans in supporting schools as in the English counties, though, as with the other parts

of the UK, only half as many LEAs use planning processes as plans in supporting schools.

3. DESCRIPTION

The eight counties in Wales contain 1841 schools and range considerably in their size and population density.

3.1 South Wales.

The four authorities of Gwent, South, Mid and West Glamorgan each have a density of between 1 and 3 hectares per 100 people. Gwent and Mid-Glamorgan are larger LEAs with 313 and 327 primary schools, whereas South and West Glamorgan are half the size, with 167 schools each.

3.2 West and North Wales.

Dyfed and Gwynedd each have a density of 16 hectares per hundred people, though Dyfed is a larger LEA (319 schools) being comparable to Gwent and Mid-Glamorgan. Gwynedd has 193 schools.

3.3 Mid-Wales.

Powys has a low density of 43 hectares per hundred people, with 112 schools spread over a large rural area.

4. PREVALENCE OF SCHOOL DEVELOPMENT PLANNING

4.1 Policy

All the counties except one have a policy that schools should have development plans. The one exception (45) stated that a policy was being developed before implementing in 1992 - 3.

4.2 Introduction

None of the counties in this region had implemented policies before 1988. Two began in 1988 - 89, (19 and 37) with three others starting in 1989 - 90. (15, 30 and 40) The two LEAs in North Wales began in 1990 - 91. (8 and 20).

4.3 Implementation

Six of the eight counties in Wales reported that all their schools have plans (1431 schools). One other (LEA 8) claimed that three quarters of the schools have them (182 of 243 schools). The other (LEA 45) has no schools with plans. (0 of 167) This implies that 1613 of the 1841 schools have plans. (88%)

This reflects the pattern in English counties, including a similar range of starting times, though LEA 45 is still at draft stage, and is one of only two LEAs in the UK claiming that schools do not have plans at present, the other being a Scottish Island authority 125.

4.4 Guidance

All the LEAs in Wales have provided guidance to primary schools about the content or process of school development planning, as have all the English counties and Boards in Northern Ireland.

4.5 Content

All the LEAs in Wales expect curriculum and staff issues to be included. Organisational aspects are considered rather less important than in other parts of England, as 3 LEAs do not expect them to be included, namely 19, 20 and 37.

4.6. Involvement

All LEAs expect teaching staff to be involved in the planning process, though LEA 37 did not expect the deputy head to be involved. This may reflect the lack of such postholders in the county with the lowest density of population in Wales and a relatively small number of scattered schools.

Governors are involved in all except LEA 15, and inspectors are involved in all except LEA 8. In LEA 20 either an inspector or an officer is involved, and in LEA 45 both may be. None of the LEAs expect non-teaching staff, parents, pupils or others to be involved, in common with Northern Ireland.

4.7. Approval

Most of the LEAs expect to approve the plans, other than 37. However, LEA 40 prefers the term “discuss” and LEA 45 did not respond.

4.8 Collection

All the LEAs collect the complete plans, the only part of the UK where this happens.

4.9. Analysis

LEAs 15 and 8 analyse the plans extensively, the other 6 do so partially, but all LEAs carry out analysis to some extent.

National Curriculum is analysed by all, and other curriculum issues by LEAs 19, 40, 30, 37 and 8. GEST planning is analysed by LEAs 19, 45, 37 and 8, and other staff development by these together with LEAs 40 and 30. Financial planning is analysed by LEAs 30, 45, 20 and 8, and other organisational issues by LEA 30. Premises and context issues are analysed by LEAs 30 and 45.

It would appear that LEA 15 concentrates its “extensive” analysis on National Curriculum issues, whereas LEA 8 claims to analyse 5 factors extensively. The other LEAs that carry out partial analysis range as follows :
LEA 20 : 2, LEA 40 : 3, LEAs 19 and 37 : 4, LEA 45 : 6, LEA 30 : 7 (all except GEST).

4.10 Use

Most Welsh LEAs are using the plans more than the processes. They fall into several categories:

37 claims to use plans and planning processes often for all 3 functions
30 does for inspection & monitoring, but only occasionally for support
20 does for inspection & support but only occasionally for monitoring

The plans are used often for monitoring by 6 LEAs; for support by 5, and for inspection by 4, and occasionally for monitoring by the other 2; for support by the other 3; and for inspection by 1 of the other 4.

This pattern for using plans is similar to English counties for support, but lower for monitoring and much lower for inspecting, where it has more in common with Scotland. For planning processes the pattern is much lower for inspection and monitoring than English counties, and closer to the pattern in Scotland and Northern Ireland.

5. COMMENTS FROM LEAs

19

The booklet on “Planning for school development” deals only with curriculum development. This is currently being revised to address all aspects of school life under LMS and NC. SDPs are used consistently for school performance reviews. Head and Deputies meet with the Director / his representative and a member of staff development unit to discuss the school’s progress.

40

School development plans have provided structure. Generally they have been viewed as a positive development

30

As with all initiatives, it takes some time before they are fully institutionalised into the culture of any organisation. Early plans were mainly curriculum plans as opposed to whole school development plans. This situation is gradually improving through the support of in-service training, with the best plans reflecting those criteria itemised in sections 7.7 to 7.14

45

Draft proposals

15

No additional comment

37

We hope SDPs will take cognizance of the outcomes of appraisals

20

We started in a very prescriptive way, led to financial planning and LMS. With the return to school of the seconded head that led the planning, we have become more flexible and concentrated more on planning process than end result. Our area team members (officers and advisers) all have a case load of schools that they have to visit at least twice in relation to SD plans. Firstly in the Nov - March period, during formulation of budget and relating budget to curriculum, staffing & development plans, and secondly in May-June to review with the school how successful they have been in meeting SD plan targets. Thus the planning cycle includes preparation from November to March for the coming year's SDP cycle, and review in May and June of the previous year's cycle.

In addition the area team members feed their findings through to the primary and secondary development groups centrally, which also have head teacher representation from each area. These, the area teams and individual advisers then feed priorities, budgetary and non-budgetary, through to a joint meeting of all officers and advisers which occurs at the beginning of the autumn term, and which starts to formulate priorities which can be translated into draft budget proposals / GEST proposals / local priorities fund proposals and non-budgetary priorities proposals, that form together the Education Department Management Plan.

It sounds coherent and seems to work, though not as coherently as it sounds! We review annually and propose a three year plan which has annual updates. A copy of the 1990-3 plan is enclosed, which has, of course, been updated twice and is currently in its third revision.

I regret that more documents are not available, but we conduct almost all of our business - and consequently document also - through Welsh!

8

No additional comment

6. LEA DOCUMENTS

Gwent

Planning for School Development 85pp received March 93

1. The process : a framework for long term whole school development
planning : curriculum; resources; management ; outside agencies
2. Planning sheets
Priority matrix for long term planning; four year strategy plan; short term SDP; priority matrix for short term development planning; priority action sheet, INSET needs, short term evaluation sheet.
3. Exemplar sheets
4. Recommended documents
Includes 13 published by Gwent between 1988 and 1992, and 13 others by Welsh Office, CCW, DES.

West Glamorgan

Framework for School Development Plans 33pp 2nd draft

- level 1 Information gathering and review
- level 2 Defining priorities
- level 3 Action planning

Powys

Good School Management 4pp

Gwynedd

Education Department Management Plan 1990-3 three year plan; 1990 -1
Annual programme. 117 pp
Includes section on Primary Education

Clwyd

Guidelines for School Development Planning in Primary Schools in Clwyd

15 pp

Presented in English & Welsh. Cartoon illustrations.

Process guidelines and 3 year plan : current situation; proposed areas of development, resources, monitoring the plan

7. OTHER RECENT PUBLICATIONS INCLUDE

Curriculum Council for Wales (1991) Framework for the Curriculum.

Key Stages 1 and 2

(1991) The Whole Curriculum 5 - 16 in Wales

(1992) Aspects of Primary Education in Wales

Welsh Office

(1991) The Whole Curriculum 5 - 16 in Wales

6.4 SCOTLAND

1. NATIONAL CONTEXT

33 County Councils, 201 City and Burgh Councils, and 197 District Councils were abolished under the Local Government (Scotland) Act of 1973, and were replaced with 9 Regional Councils, 3 all-purpose Island Authorities and 53 District Councils. The Regional and Island authorities are responsible for strategic planning in Education.

The legal system and Scottish Office work alongside but separate from that of England and Wales. The mixture of links with England and yet proud distinctiveness are perhaps illustrated by the fact that 45 percent of Edinburgh University's students in 1992 -3 lived in England, (Guardian 26.10.93 p E7), but that the national curriculum and GEST funding does not apply in Scotland.

Scotland contains 9 Regional and 3 Island Authorities with 2524 schools. The regions span some of the smallest and the largest in the UK, ranging from Orkney with 24 to Strathclyde with 1065 schools, which represents 42% of the primary schools in Scotland.

The authorities are listed below approximately from north to south. The number of primary schools in each authority is given in column 1. Column 2 shows them in rank order from the smallest to the largest.

	<i>col.1</i>	<i>col.2</i>
Western Isles	42	3
Shetland	35	2
Orkney	24	1
Highland	114	5
Grampian	280	10
Tayside	207	9
Central	117	7
Fife	160	8
Strathclyde	1065	12
Lothian	287	11
Borders	77	4
Dumfries /Galloway	116	6

2. ISSUES

The Audit Unit was set up by the Scottish Office as part of the school inspectorate. It expects headteachers to involve School Boards increasingly in issues to do with standards and quality. These include school development planning, school self-evaluation, staff development, appraisal and devolved management.

Scottish HMI worked in three regions to develop and pilot guidance materials, which have been published since this enquiry (1992 a-d). The variation between the responses reflects the extent to which regions were aware of this work or had been actively developing their own approach. Although there is more support for school development planning than for performance indicators, the SOED materials link these together. The response from one island was

"It is early days yet, but it has to be said that these (performance indicators) have been received with some reservations. There are particular concerns regarding the fear that there is an assumption that the pointing out of success or failure will in itself lead to improvement." (LEA 125, correspondence March 1993)

Three-quarters of the regions had provided some guidance to schools about planning. Contextual and ethos issues were given more importance than in England and Wales, and this is reflected in the HMI materials.

The Scottish Office have been proactive in sponsoring research and ensuring that the findings are disseminated effectively to schools through publications and a broadsheet "Interchange". For example, Interchange number 15 is a research summary entitled "Making School Boards Work" (1993). Commissioned work includes the production of video-tapes (1993) by Jordanhill College that support the introduction of the materials on ethos and performance indicators in school self-evaluation. (1992 a-d) Similarly, the commitment to parents is explicit in the Parents' Charter for Scotland (1991) and in the publications of the School Boards Support Unit, which produces "School Boards News".

School Boards were given specified functions under the Schools Boards (Scotland) Act 1988. They have fewer powers than Governing Bodies in England and Wales, which are considered in chapter 13, and headteachers are merely required to consult them on the exercise of their responsibilities. The intention of the Act was to give parents more say in the running of schools, and to give schools a parental perspective on their work. Not all schools have

Boards yet, for example 31 of 36 schools in Shetland had them by March 1993.

The Scottish Office have actively promoted the link between school development planning and school effectiveness through publications such as "The role of school development plans in managing school effectiveness" (1991) and a subsequent survey by MVA of headteachers' views (1993d); by the ring binders designed to assist the use of ethos and performance indicators in school self-evaluation (1992 a-d); by reports of seminars on quality assurance (1993b, 1993e); by incorporating assessment results (1992f, 1993c) and by a consultation paper on school development plans in Scotland (1993g).

A research project was commissioned by the SOED to follow the development of School Boards over two years. (MacBeath, McCaig and Thomson 1993). Boards saw their roles as being in the areas of support, consultancy, management and policy setting. Headteachers emphasised selection of promoted staff and policy making. One responded :

"The School Board is part of long term planning. It is keen to encourage the development of the school, and that's one of the reasons for taking them in on school development planning"

At the time of the survey there were no grant-maintained schools in Scotland, and there appears to be greater consensus between parents, teachers, the regional authorities and the Scottish Office Education Department than in England and Wales. It will remain to be seen whether this survives in three years' time, when many educational authorities are to be removed in a reform of local government that will replace regions and districts with single tier councils.

The Secretary of State for Scotland has been explicit in linking the aim of devolving management to schools with improving the quality of education. He recognised that "no single scheme could cover the diversity of our schools and regional differences" (Nov 1992). Authorities were expected "to devise their own schemes on the basis of clearly specified principles and against a set timetable." Some authorities, notably Strathclyde and Dumfries and Galloway, have already begun implementing schemes for devolved management (Nov 1992, para 8), and since the survey the SOED has issued guidelines (1992e).

Earlier research (Willms 1986,1992) found that the variability in the performance of authorities in Scotland was attributable mainly to differences

in pupil intakes.

"The results suggested that, of the variance in pupil outcomes remaining after controlling statistically for pupil intake, nearly 90 per cent was between pupils, about 10 per cent was between schools, and less than one-tenth of 1 per cent was between education authorities."

Willms 1992 p 125

Turning to the evidence from this enquiry, a higher proportion of the authorities in Scotland than in England and Wales expected schools to submit their plans for approval and analysis, particularly concerning staff development.

Although the enquiry form referred to the National Curriculum, LMS and GEST which are all irrelevant in the Scottish context, it was clear from the responses that the value of development planning is recognised and that it is currently being introduced. One respondent wrote

"Although in their relative infancy, school development plans have established themselves well here and have contributed significantly to the negotiating and planning processes. They are seen as the 'contract' between the school and the education authority." (LEA 119)

3. PREVALENCE OF SCHOOL DEVELOPMENT PLANNING

3.1 Five of the authorities have a policy that schools should have development plans; three others were in the process of formulating one; and three had no policy. There was no correlation with the size or the location of the authorities in each category.

3.2 One authority had introduced planning for staff development before 1988, and pointed out that this continued to be all that was required; Three introduced this in 1990-91; and three in 1991-92. Five regions did not respond to this question.

3.3 Three of the regions reported that all, or almost all of the schools had plans (420 schools); five claimed that about a quarter had them (407 of 1626 schools) and three regions did not respond to the question (443 schools). These three include the region that has a system for staff development planning, which estimated 10% being at some stage of development (29 of 287 schools) and one that was implementing a policy in 1991-92.

The response from those that answered this question implies that about 856 of the 2524 schools had plans (34 percent), but correlating replies to this question with those to the previous question about policy makes it likely that the actual figure is probably higher.

3.4 Taking the response of these three questions together, it seems likely that the Scottish regions are in three categories:

- ~ three regions are at the stage of implementing policy and practice;
- ~ six regions are developing policy and have some practice;
- ~ three regions are at an initial stage - one with policy but no practice yet; one where policy is being developed; and one where there is some practice but no policy yet.

3.5 The role of the HMI in Scotland has been particularly positive in the development of both policy and practice, though the main publications have been produced since the regions returned this enquiry form. These materials were developed in the three regions that are most involved.

4. CONTENT

4.1 Nine of the regions had provided guidance about planning, two had not, and one did not respond to the question. Schools in all Scottish regions will have had access to guidance subsequently from the HMI publications.

4.2 Is there an expectation that any of the following should be included :
curriculum; staff; finance; organisation; premises; context?

	<i>Scotland</i>		<i>UK</i>
	<i>N</i>	<i>rank</i>	<i>rank</i>
Curriculum	9	1	1
Staff	8	2	2
Organisation	7	3=	3
Context	7	3=	6
Finance	5	5	4
Premises	4	6	5
<i>No response</i>	3		

Comments from Scottish respondents:

<i>Finance - certain aspects only - no LMS</i>	<i>127</i>
<i>Finance - access to resources</i>	<i>121</i>
<i>Finance - resources</i>	<i>123</i>

Finance and premises featured less in Scottish responses. Context was ranked significantly higher in Scotland than in other parts of the UK.

All the respondents in the UK that fully completed their forms indicated that curriculum issues were included. Similarly all except one Scottish authority (120) included staff development issues. It was clear from the replies that staff issues are a vital part of planning. About half (8 /14) of the LEAs in the UK that did not expect organisation issues to be included were either in Wales or Scotland. There was no particular correlation with size of LEA.

5. INVOLVEMENT IN PLANNING

5.1 Is there an LEA policy that any of the following should be involved in the planning process with the Head?

	<i>Scotland</i>		<i>UK</i>
	<i>N</i>	<i>rank</i>	<i>rank</i>
Teaching Staff	9	1	1
Deputy Head	8	2=	2
Inspector/Adviser	8	2=	4
LEA officer	4	4	6
Parents	3	5=	7
Non-teaching staff	3	5=	5
Governors	2	7	3
Pupils	1	8	8
<i>No response to question</i>	3		

It is not only the smaller LEAs that encourage the involvement of all the staff rather than identify the Deputy Head. They range from the smallest rural LEA to the largest metropolitan district and three medium-sized LEAs in England, Wales and Scotland.

The figure relating to the involvement of governors is considerably lower in Scotland where this question may have been unclear, as the function is carried out by the School Board.

The relative functions of inspector/adviser and officer differ across the U.K.. In all but 2 cases in Northern Ireland, where officers are involved, so also are inspectors/advisers. In 3 of the 4 Scottish regions that involve officers there was an expectation that the plan would be submitted for approval by the authority. (see 7.2 below).

Although only 27 percent of the LEAs in the UK involve parents in the planning process, Scotland is similar to much of England apart from boroughs in Inner London, as was shown in chapter 6.2.

5.2 Do the plans have to be approved by the LEA?

	<i>Scotland</i>		<i>UK total</i>
	<i>N</i>	<i>%</i>	<i>%</i>
Yes	6	50	28
No	2	17	65
<i>No response</i>	4	33	7

The pattern is that the two smallest authorities expect to approve the plans, a second group has not responded, a third group also expects to approve the plans, and the two largest authorities do not.

As with the term “policy”, the interpretation of the term “approve” gave rise to several comments, such as:

<i>“No formal system of approval”</i>	<i>123</i>
<i>“negotiated rather than approved”</i>	<i>121</i>

Question 4.1 asked whether the LEA has a policy that all primary schools should have plans, and this question 6.2 asked whether the plans have to be approved by the LEA. In Scotland, 6 regions indicated that there is a policy, but only 3 of these indicated that plans have to be approved, and 1 other used the term “negotiated”. On the other hand, 2 other regions indicated that they did not have such a policy, but that the plans had to be approved.

6. ANALYSIS

6.1 Does the Authority collect the plans?

<i>Authority</i>	<i>Scotland</i>		<i>UK</i>
	<i>N</i>	<i>%</i>	<i>%</i>
Plans not required by the Authority	0	0	10
Summary of priorities required by the Authority	3	25	36
Complete plans filed & available for reference by the Authority	7	58	60
<i>No response</i>	3	25	3

One region required both the complete plan and a summary of priorities. The three largest regions only required the summaries of priorities, which focuses the issue on the practicalities of how the authorities use the plans. The following two questions asked about this.

6.2 Does the Authority analyse the plans?

	<i>Scotland</i>		<i>UK</i>
	<i>N</i>	<i>%</i>	<i>%</i>
No analysis	0	0	5
Partial analysis	4	33	56
Extensive analysis	4	33	34
<i>No response</i>	4	33	5

At this stage one respondent stopped completing the form, and commented

"I have left some areas blank as we are moving from piloting to implementation in this area and some such areas remain to be clarified " (120).

Linking these replies with those of the previous question, the four regions that carry out extensive analysis include the two with the smallest number of schools and one that requires a summary only. The approach taken in region 9 presumably tackles the task of extensive analysis of the complete plans in a medium sized authority.

6.3 Are particular aspects analysed?

	<i>Scotland</i>		<i>UK</i>
	<i>N</i>	<i>%</i>	<i>%</i>
National Curriculum planning	3	25	75
Other curriculum	4	33	54
Staff development	6	50	69
Financial planning	2	17	43
Other organisational	4	33	32
Premises	3	25	24
Context	3	25	24
<i>No response</i>	5	42	10

Curriculum

Respondents coped with the inappropriateness of a question about the National Curriculum either by relating it to the Scottish programme of national guidance for 5 - 14 or by ignoring the question. Consequently, it is probably appropriate to consider the first two categories together, which indicates that 5 of the 7 regions responded to this question. The responses to the previous question suggest that 3 of these 5 analyse the plans extensively. Region 121 indicated that the curriculum would be the next stage of analysis for them.

Staff development

The importance of planning for staff development is identified by all but one of the authorities that responded, including the smallest and the largest. It is the only aspect that is analysed by the region with the most schools.

Financial planning

There is much less involvement in financial planning at school level in Scotland than elsewhere in the UK as the 1988 Education Reform Act containing legislation relating to local management of schools (section 33) applied to England and Wales.

Context

In view of the recognition of the importance of "context" indicated in section 4.2 above, it is notable that only 3 of the 7 authorities analyse the outcomes from schools.

7. USE OF SCHOOL PLANS BY LEA STAFF

The following list provides details of the ways in which authorities responded to the question about the use of plans for inspection, monitoring or support. The UK figures have already been mentioned in chapter 6.2.

7.1 Do LEA staff refer to SD plans and/or planning processes in inspections?

		<i>Scotland</i>		<i>UK</i>
		<i>N</i>	<i>%</i>	<i>%</i>
<i>Often</i>				
	Plans	4	33	79
	Planning processes	3	25	65
<i>Never</i>				
	Plans	1	8	4
	Planning processes	1	8	2

7.2 Do LEA staff refer to SD plans and/or planning processes as part of their monitoring of schools?

		<i>Scotland</i>		<i>UK</i>
		<i>N</i>	<i>%</i>	<i>%</i>
<i>Often</i>				
	Plans	6	50	84
	Planning processes	4	33	67
<i>Never</i>				
	Plans	0	0	0
	Planning processes	0	0	0

7.3 Do LEA staff refer to SD plans as part of their support to schools?

	<i>Scotland</i>		<i>UK</i>
	<i>N</i>	<i>%</i>	<i>%</i>
<i>Often</i>			
Plans	6	50	54
Planning processes	4	33	40
<i>Never</i>			
Plans	1	8	5
Planning processes	1	8	7

The response from region 123 relates to staff development planning only.

8. WRITTEN MATERIALS

Has your authority produced any Guidelines or INSET materials for Primary Schools on :

	Number of authorities (N : 12)	
	<i>Guidelines</i>	<i>INSET materials</i>
Curriculum Planning	5	5
Planning linked with Staff Development priorities	4	3
School Financial Planning linked with LMS	1	2
School Development Plans in Primary Schools	7	4
School Development Planning across phases	2	1

7 of the 12 regions have produced guidelines or INSET materials to help schools with aspects of school development planning. Regions 119 and 121 kindly included copies of these materials with their replies.

9. PERSONAL VIEWS AND GENERAL COMMENTS

9.1 No additional comment regions 124, 122, 126

9.2 Comments on the significance of school development planning

“ This is a major development, first initiated on a voluntary basis in early 1989. The original notions were adopted from private sector strategic planning. Our schools are developing on the basis of school self-evaluation. The SD planning allows schools to control the implementation of the 5-14 programme and allows the authority to manage our budget in a far more efficient and equitable way.” *121*

9.3 Comments about the stage of development reached

“ Our authority is, at the moment, moving towards the production of guidance for schools on all aspects of School Development Plans.” *128*

“ Development planning is not formally a requirement. In practice, some schools are already using / developing such plans. More importantly, a Regional group was recently constituted to consider how such development planning might be introduced.” *117*

“ Although in their relative infancy, School Development Plans have established themselves well here and have contributed significantly to the negotiating and planning processes. They are seen as the “contract” between school and Education Authority.” *119*

“ The Education Authority has plans for the introduction of School Development Plans which are not yet available to the Advisory Service or schools. Many schools in the Authority are involved in the process of School Development Planning. National Guidance is available but regarded by schools as limited in scope.” *118*

“ This region has done a lot of work on SDP with Headteachers on management training courses. A pilot scheme on SDP has been initiated and as a result a policy and notes of guidance have been provided and will be published in May 1992. Much of the work carried out in this region has been based on SOED materials like “Effective Primary Schools” and “The Role of School Development Plans in monitoring school effectiveness.” 127

“ This authority is currently involved in a major strategic planning exercise in which school development plans will play a key role. 1992-3 is likely to be a transitional year as more schools begin to undertake full-scale development planning. By the mid-1990s it is anticipated all primary schools will be involved.” 123

9.4 Authorities’ comments on the enquiry form

“ This form is obviously produced primarily for England and Wales. There is no National Curriculum and no LMS in Scotland. I am not familiar with the term GEST. I would have preferred a form that takes full account of the Scottish dimension.” 125

“ I have left some areas blank as we are moving from piloting to implementation in this area and some such areas remain to be clarified.” 120

“ This questionnaire was particularly difficult to complete as
a) it was loaded towards the education system which pertains to England and Wales; and
b) because of our stage of development in SDP answers could only be given as “expectations” 127

6.5 NORTHERN IRELAND

County Councils were dissolved as units of local government in Northern Ireland in the re-organisation of 1973, when they were replaced by 26 District Councils and 9 Area Boards. Some functions which were the responsibility of local authorities were transferred to government departments. District Council members are elected for four years, and proportional representation using a single transferable vote was introduced.

The administration of 1042 primary schools in Northern Ireland is covered by five Education and Library Boards. These boards have statutory powers to provide advisory and support services to schools under the Education Reform Order (Northern Ireland : 1989). However, they do not have the authority to determine what is in a development plan, or to insist that the schools submit their plans, or to inspect schools. It is for the individual school to decide whether it should have a development plan and what it should contain.

As part of their policies for supporting schools, all the boards recommend that primary schools should have development plans. Although there is no requirement, a growing number of schools have adopted this approach, and board advisers give help and support to schools about their plans if requested to do so by the school.

The Department of Education is responsible for central policy, co-ordination, legislation and financial control of the education and library services. It is concerned with the individual and the quality of life, including leisure, recreation, culture, relaxation and entertainment. The inspectorate advises on the educational, as distinct from the administrative aspects, and makes use of school plans as part of this process where they exist. The Chief Inspector writes ;

"We have found that written plans help us to assess not only the nature and direction of school's planning processes, but also the nature and order of the priorities set by the school. ... We encourage schools to plan systematically; the use of development planning is one potentially valuable means of undertaking this planning."
(letter from I.Wallace 22.6.93)

The Regional Training Unit has produced INSET materials and organises residential management courses that are followed up and supplemented by the boards. For example, in the South East Board, schools inform the board of

their priorities over one and three year periods. The board supports the schools by monitoring progress and evaluating the achievement of targets in their plans.

In general, the process of school development planning is at an earlier stage than in other parts of the UK.

The relative size of primary schools and the age distribution of the population in the five Education & Library Boards are indicated by the following table :

	<i>population</i>	<i>schools</i>	<i>ratio</i>
Belfast	322,600	124	2602
SE	345,600	162	2133
NE	350,700	256	1370
W	258,800	215	1204
S	304,000	294	1034
total	1,581,700	1051	1505

A broad categorisation to describe the number of schools in LEAs throughout the UK was outlined in chapter 6.1. Belfast ELB is in a category with 76 percent of the metropolitan areas. The other four boards are in the two categories with 63 percent of the non-metropolitan areas. Of the eight categories, none of the boards are among the smallest or the four largest ones.

All the boards introduced policies between 1990 and 1992 that primary schools should have school development plans, in common with 43 percent of other LEAs. More than half of the LEAs had done so before 1990.

Two of the boards estimated that about three-quarters of their schools had introduced plans, and the other three boards estimated about one quarter of their schools had done so. At the time of the survey, three quarters of the LEAs in the UK reported that almost all of their schools had plans, so the introduction of plans in Northern Ireland is happening later than in most areas.

All the boards have provided guidance to schools about development planning, in common with 96 percent of the LEAs. They all expect the full range of issues to be included - curriculum, staff, organisation, finance, premises, and context - and claim to use the plans 'often' in their support of schools. The boards all expect the headteacher, deputy head, teaching staff and governors to be involved in the planning process.

Information from the Northern Ireland Office, however, had indicated that this similarity of approach across the province depended more on the schools' approach to planning than the boards, and indeed the subsequent questions to the boards revealed a range of practice.

The first of these questions asked whether the board expected an officer or adviser to be involved. All except ELB 132 expect an officer to be involved, and two of the boards also include an adviser.

The second question asked whether the plans had to be approved by the board. This was only so in ELB 131, though this seems curious as in that board only one quarter of the schools have plans. This board also claimed that their staff often referred to plans and planning processes in inspecting, monitoring and supporting schools, though as was mentioned above they do not have a formal inspectorial role.

The third question asked about the analysis of the plans by the board. ELB 130 collects the complete plans, files them for reference and analyses them extensively, though only a quarter of the schools have plans. ELB 129 expects priorities and partially analyses them in monitoring schools, with three quarters of the schools having plans. ELB 131, with plans from a quarter of its schools, also analyse them partially. ELBs 132 and 133 do not collect or analyse the plans, but ELB 133 uses plans and planning processes in its support of schools.

The fourth question asked which aspects are analysed, and the three boards that analyse the plans consider curriculum and staff development. Two of them include financial planning, organisational and context, and one includes premises.

In summary, the five boards display a range of characteristics in their combinations of variables. As in other parts of the UK, boards and LEAs vary most when they are in their first cycles of school development planning. As the proportion of schools increase, the tendency is to encourage schools to focus on priorities and for the board to find such information more useful for selective analysis and application. Other LEAs have indicated that linking the outcomes with advice or support for schools has much potential value that is not always possible at the early stages if the time, expertise or technology is not available.

Chapter 7

SAMPLE OF LEAs studied in the ESRC project

Context

The national survey of LEAs was carried out between February and July 1992. Attitudes towards development planning in primary schools appeared to be becoming increasingly positive during subsequent months. This coincided with the continued introduction of aspects of the national curriculum and testing programme in primary schools while the government maintained pressure for change towards grant-maintained status and towards reducing the resources of LEAs.

A sample of inspectors and officers in 3 contrasting LEAs was interviewed in June and July 1993. These 7 people were linked with the 9 schools participating in the ESRC project. The dual purpose of this sample was :

- i. to compare their views of LEA approaches with those expressed by respondents to the national survey a year earlier, and
- ii. to compare their views of the project schools with those expressed by the headteachers, teachers and governors in those schools.

A structured interview with each “link-person” was carried out in a venue of their choosing, mainly in their offices in the 3 LEAs. The questions are included as appendix E, and this chapter is based on their perceptions in response to these questions. These views will be compared with those of the headteachers, classteachers and governors later in the project, using the SPSS program. Consequently at this stage in the research it is not yet feasible to show the extent to which reality in the schools matches intentions expressed by their LEAs.

The comments reported in this chapter reflect the perceptions of two or three senior staff in each LEA who have regular contact with the schools in the project, along with many other schools in their LEA.

1. Background

The three LEAs are at various stages of adjusting to the separation of inspection and advisory services necessitated by the 1992 and 1993 legislation. Consequently the description of the roles and titles of the officers varied more than would have been the case until recently, when they would all have been advisers, inspectors or officers. In one LEA they are still called inspectors, one respondent being a Senior Inspector, and one a General Inspector. In the second LEA the titles Chief Adviser and Assistant Director of Education describe two of the respondents, while the third is a Senior Manager responsible for a service. All three have become absorbed into the officer structure. In the third LEA one respondent was an Education Officer, while the other's title had been changed from Inspector to Management Consultant.

3 of the 7 had been appointed to their roles within the last year. The others had been in post for between 3.5 and 7 years. 5 of the 7 had served in the same LEA for 3.5 - 4 years. The other 2 had served in the same LEA for 14 and 25 years. Consequently, while all were experiencing structural changes, all had been serving their LEAs for long enough to know the schools in the wider context of the services available within the LEA. Most had been responsible for significant aspects of the development and maintenance of such services. All but one had experienced development planning in other types of school, and 4 of the 7 had been involved in planning development in contexts other than primary schools.

Only one of the three LEAs had Education Committee endorsement of a policy about school development planning in primary schools. The other two LEAs strongly encouraged schools to have such plans, both to help internal management and to meet external expectations arising from LMS, GEST and the inspection framework.

These policies had not changed in the last year in two of the LEAs. In the third there had been a subtle change from a curriculum-focussed plan towards a school management plan that identified resources to meet needs. Although the principles and processes have not changed, there has been an intention in this LEA to widen participation in planning so that governors and more staff become involved.

In practice, increasing government control and changing instructions over testing and the national curriculum, together with financial cuts and the lack

of guarantees about funds, have encouraged short-term planning in schools. One interviewee considered that central government have made it harder for LEAs and headteachers to promote the concept of more strategic, longer term planning.

On the other hand, the requirement for plans in the Ofsted inspection framework has formally raised the profile of planning documents and encouraged links between curriculum, staff development and LMS issues. Schools involved in applying for grant-maintained status have needed to focus on site development as an explicit element in their planning.

2. Current practice

Each of those interviewed is linked with particular primary and secondary schools as well as having a general brief for schools throughout their LEA. Some were linked also with nursery or special schools. In two of the LEAs the number of link establishments ranged from 4 to 9 schools. In the third the interviewees had become consultants for between 23 and 28 schools. The frequency of visiting reflected the number of link schools, with two visits a term being the most common pattern. Where particular problems existed this frequency rises significantly according to the nature of the problem, and involves many meetings with the head, governors and staff. Conversely, visits are rare where the LEA person is linked with a large number of schools, has a major general responsibility, and is confident from other contacts that a particular school does not require specific assistance. Every school had been visited by the link person during the school year 1992 - 3.

Those interviewed said that they know the headteachers well in virtually every school, and in most instances this was extended to the deputy and the senior staff. The interviewees considered that involvement in staff meetings or with issues involving particular post-holders led to getting to know staff better than was possible from only visiting classrooms.

Access to data either in the schools or the LEAs presented no difficulties. Data used included reports to governors, statistical data about aspects such as finance or SATs and curriculum statements.

All had regular access to the schools' development plans, except for one school with a recent change of headteacher in which the INSET diary had been previously the only plan. Practice varied between the LEAs, from one in

which the plan was an up to date working document that was the focus of work within the school, to the others in which the plan provided a context for LEA knowledge about the schools' priorities.

3. Formulating the plan

The purposes of a school development plan were defined in various ways according to the perceptions and experience of the interviewee. Their responses can be grouped into five categories. They considered that a school development plan assists in :

- ~ managing the school,
- ~ clarifying priorities for development,
- ~ reviewing progress,
- ~ stimulating a shared process, and
- ~ communicating with others

The following phrases about the purposes of plans were expressed during the interviews:

1. Management

- ~ a holistic picture of the school
- ~ a management tool to co-ordinate the work of the school
- ~ an umbrella to bring together curriculum, professional, premises and financial planning
- ~ identify pupil needs and match with institutional needs
- ~ match human and other resources (including training) to meet needs
- ~ ensure that the school as an organisation has an agreed process which provides a framework for the individual development of teachers, for the allocation of resources, and enables better prioritisation of work

2. Priorities for development

- ~ a means of helping governors and head to review, consolidate and develop priorities
- ~ incorporate outcomes of evaluations in last year
- ~ a document to influence all others, and is influenced by them
- ~ importance of coherence

3. Review progress

- ~ record achievements and successes

4. Shared process

- ~ a shared view of priorities from head and staff
- ~ a statement of staff agreements about the school's development
- ~ gives everybody access to decision-making processes in the school, and therefore to the heart of control
- ~ a declaration of shared intentions to improve and move things forward
- ~ becoming a joint process with the governing body

5. Communication document

- ~ available to governors and other professional groups
- ~ open document created by professionals
- ~ responsibility to bring together the policies and documentation that a school should have, like a curriculum statement in a school prospectus.

They were asked explicitly about the role of governors in formulating a development plan. Intentions were not yet being fully realised, and responses indicated that the quality of the headteacher, of the chairperson and of the governors were paramount in determining at this stage how far they are actively engaged. In one LEA they are consulted and look at the draft. In another the professionals produce the plan, a governors' sub-committee discuss it, and the full governing body approve it in the way that a shareholders' meeting approve a report. The governors validate priorities generated by professionals. In the third LEA the impact of inspection forces the governors to debate issues and draws them into making the recommendations that become incorporated into the plan as priorities. The learning curve of the governors has to be particularly steep where schools are involved in amalgamation. This issue is considered in more depth in chapter 13.

The headteacher has the key role in formulating the school development plan, but this is interpreted in various ways according to her experience and circumstances. She is responsible for the process and either leads it herself or delegates this to her deputy or curriculum co-ordinator. This process includes involving the staff and governors in the determination of priorities, encouraging a sense of ownership and fine tuning the plan into an effective written document. Headteachers that entrust the key role to others ensure that

their own views are clearly included. The link-person's relationship with the headteacher becomes particularly important where the responsibility to plan is not recognised sufficiently, or where the process needs supporting.

The interviewees were asked who else, other than the headteacher, has a role in formulating the development plan. All include the deputy and the teaching staff, one stressing the need to consult the teaching staff about needs, and another mentioning the curriculum co-ordinator in particular.

Opinion varied about involving others. In two of the LEAs non-teaching staff might be involved, and this is more likely in infants' schools. One person mentioned that there might be resource implications in involving them. In two of the LEAs, inspectors, advisers and officers have been used, particularly in the early stages, as external consultants on planning processes. In these same two LEAs the involvement of Governors was mentioned, for example in curriculum panels or in-service days focussing on planning. In one LEA the importance of children's views were mentioned, together with links between planning and records of achievement. Parents were not mentioned at all, except in their role as governors.

The general picture appears to be that the plan is considered a document for professionals, and that at present others are only reluctantly involved in contributing to its formulation. However, some schools are more introverted than others, and the LEA link-people were asked to comment on their contact with these nine schools.

In two of the LEAs the interviewees had been informed about the formulation stages of the planning, whereas in the third LEA they felt involved. In the latter case this included discussion with the headteacher during the decision-making process, or being involved in the annual training day at which the plans are formulated. However, this was diminishing as compared with previous years. In this LEA there was a formal requirement that the plan would be submitted to the LEA, whereas in one of the other LEAs schools were encouraged but not required to do so. The completed written plan was seen by all the linkpeople whether there was a requirement or not.

In all but one case, the reaction on seeing the plan was supportive and no action was required. In the one case mentioned in the previous section there was no proper plan, and the lack of it was but one indicator of a problem that may diminish with a change of headteacher. Reactions to the others included positive comments, together with potential ways in which future plans could improve, for example by including more explicit references to ways in which

resources could be used to achieve objectives. One respondent mentioned that discussion of the plan was included as part of a continuing debate in the appraisal of the headteacher.

4. Implementing the plan

All those interviewed said that they knew what the current priorities are, or had easy access to the headteacher and appropriate documentation, except where the headteacher had changed recently and the priorities were being reviewed.

The role of governors in implementing the plan varied. In one school they are directly involved in targeting finances. In most this is delegated to the headteacher and professional staff. They receive reports of progress in each case and, in most, progress is monitored regularly.

LEA staff have been involved in every school in implementing the plan. In one LEA the linkpeople have been personally involved in supporting the school in conjunction with specialist colleagues, or in leading INSET sessions. In another the linkpeople act as a bridge and promote access to support services. They evaluate some programmes and are involved in piloting other developments, such as records of achievement. Appraisal of headteachers and governor training also bring LEA staff into contact with the needs of individual schools. Two respondents expressed a regret that other commitments prevented more involvement with supporting the management of the school.

The role of the headteacher in implementing the plan involves both management and leadership. She needs to identify who is responsible for achieving the identified tasks, and to monitor progress. She is responsible for setting a realistic time scale and ensuring that the process keeps to it. One headteacher had been over-optimistic about the time needed to achieve a particular change, but the interviewee considered that she now appreciates better the need for patience. Judging pace and capability is important.

The headteacher needs to be able to articulate what is wanted and to empower people to get on with achieving it. She needs to promote a common vision about teaching and learning, and to provide a structure in which teachers are encouraged to support each other. One headteacher was described as being fairly non-directive, but achieving much more behind the scenes than is

apparent to the superficial observer. One of the interviewees compared two headteachers' approaches, saying that one "finds it in people" and the other "requires it of people." Both the schools were considered nice to work in, under contrasting leadership styles. In another school it was considered that staff experience with curriculum planning was contributing to the quality of development planning.

All the respondents said that the implementation of the development plan involved the deputy head and the teaching staff. All considered that non-teaching staff should be involved, but about half either indicated that this depended on the relevance of particular priorities, such as pupil behaviour or communications, or were uncertain whether a particular school involved non-teaching staff in implementing the plan. Similarly most respondents indicated that parents would be involved where the priorities in the school's included home reading schemes or home-school liaison.

All responded that LEA inspectors, advisory staff and officers would have a role in implementing the plan, though this would be less than in the past and would depend on the extent of devolution of previously centralised services. For example they would be involved in issues involving site development or special needs services under the Child Protection Act, and might be involved in linking with other services such as Personnel, management development, or in-service activities. Governors were only mentioned as having a role in implementing the plan in the context of two of the schools, and pupils possibly in two others.

All but one of the plans indicated that financial or other resources - notably time - had been allocated for implementation. The in-service element was clearest, with targeted GEST funding and INSET days or staff meetings devoted to identifying or addressing the priorities in the plan. The INSET co-ordinator was mentioned in one school as a key figure in formulating and implementing the plan, and in ensuring that staff share expertise with colleagues after participating in INSET. In two schools mention was made of staff with responsibility to tackle priorities, and incentive allowances are allocated "to move action" in one school. Another school was involved "vigorously" in seeking funds from local industry as part of its priority to improve communications with the community.

Decisions about funding were taken by the headteacher, but there was variation between schools and LEAs concerning who else was involved. In one LEA, the headteacher consulted the teachers and gained the approval of the governors. Governors were not mentioned in another LEA. In the third

LEA the governors are consulted in one school and in another they “rubber stamp” the decisions of the head and teachers. The deputy was specifically mentioned in one school. LEA advice was mentioned by only one respondent, which may reflect the extent to which confidence in financial decision-making is growing in increasingly autonomous schools.

5. Monitoring progress and evaluating the planning process

The interviewees were asked if there had been any significant changes in the way in which the school approached development planning in 1992-3 as compared with 1991-2. They replied as follows. One school, in which the headteacher had changed, had made considerable changes, and the responses to the other questions indicated that such changes were overdue. Another school which had experienced a change of headteacher in the previous year had also altered by increasing the involvement of teaching staff and governors in planning.

Improvements in a third school had taken place in five areas - defining success criteria; evaluating why it failed to meet a target and deciding what to do about it; making judgements; improving the coherence and sophistication of the process; and improving the confidence of the teaching staff each year. Some schools had found that changes in inspection requirements and LMS had caused them to modify their processes. Others had changed their priorities. Most schools had not made significant changes this year, and in one case it was stated that they were already reviewing how finance, resources and organisation could deliver their objectives.

The LEAs varied in their monitoring of the implementation of the schools' plans. In one LEA the general inspector's regular discussions with the headteacher include how far targets have been met, whether they were too ambitious, and whether support is needed. An annual retrospective meeting takes place in September. Although there has been similar practice in the second LEA, the reduced capacity of the LEA now leaves the link-person with the role to identify where there is cause for concern, so that the LEA knows where action is needed. One respondent considered that a more rigorous process than supported self-improvement is needed in some schools.

In the third LEA the officer and the chair of governors are responsible for monitoring the implementation of the plan. The link consultant is expected to advise, on the basis of knowledge of the school, rather than to make

judgements. This process takes into account the shift towards grant-maintained status and the appraisal of headteachers.

The evaluation of outcomes of the plan by the LEAs is now relatively rare. One LEA scrutinises links between INSET provision and needs identified in plans. Its priorities for thematic inspections across several schools are linked with feedback from general inspectors. A second LEA also depended on feedback from link consultants and inspection processes.

Responses varied from respondents in the third LEA. The Chief Adviser said that the LEA will be no longer evaluating outcomes. A Senior Manager said that links between evaluation policy and emerging inspection arrangements were not yet clear. The Deputy Director focussed on the outcomes of school planning in monitoring the implementation of LEA policies across the whole authority.

6. Comments on school development planning from the LEA link-people

Each of the interviewees considered, on the basis of a variety of detailed evidence gathered while inspecting and visiting regularly, that development planning had led to improvements in these nine schools. Their responses to this question can be summarised into four main areas :

School development planning provides a *clearer structure* within which to plan priorities. This encourages schools to identify realistic goals that are appropriate and achievable. Financial and physical resources, together with staff energies, are focussed on consequences that benefit children's learning. Schools have a better sense of direction and tend to evaluate better what has been achieved before moving on to other priorities in a more coherent way

The importance and influence of the *head's vision* has become more widely recognised. As people appreciate that the plan and the planning process are integral parts of managing the school, support for the head tends to increase. One respondent said he had never seen a good plan operate in a school with a bad head.

The school development plan has helped to *raise the profile of the planning process*. It has been a unifying and collaborative process for the staff as a whole that brings staff together yet reflects individual jobs. When decisions

have to be made there is less concern if an agreed set of priorities has become a cohesive influence in the school. The framework of a plan provides the staff with a “kernel of sanity” at a time of many externally imposed pressures, and helps to plug the gap between rhetoric and reality.

The plan also enables the school to *demonstrate its own development* as an organisation and to clarify where it needs to make improvements. The schools’ confidence is enhanced and it becomes better able to meet its accountabilities. Governors and parents value the improved quality of information about what has been achieved and what is intended.

The interviewees were asked whether there are any links between school development planning and LEA development planning, and it was clear that the links varied between the three LEAs. In one there was no link with budget timing, and some officers, such as those involved with site development, have no contact with school plans. That LEA expects, but does not require, its core values and priorities to be reflected in school plans.

In the second LEA one respondent deplored the situation where INSET planning is dictated by the government’s GEST priorities. Another said that the LEA’s plan was developed as an amalgam of school plans, and the LEA tried to avoid mismatches in priorities between the LEA’s members / officers and the schools’ governors / headteachers. The third respondent in this LEA added that its plans are affected by the political process both at national and at local levels, and that Directorates other than Education also influenced policy at corporate level, for example over how far an agency approach to selling services should be developed.

The third LEA does not publish a plan, though units are involved in meeting the strategic needs of members, such as supporting assessment in the national curriculum, or submitting the GEST return based on a staff development plan.

Finally, the interviewees were invited to comment on any other aspects of school development planning in general. Some raised issues that had already been mentioned earlier by others, but the following seven issues emerged:

One felt that *continuity* in a school is important, so that a change of headteacher should not necessarily lead to a new plan. Indeed, if priorities are only related to a specific headteacher, the process is flawed.

The Ofsted approach to whole-school *inspections* incorporates development

plans and requires governors to have action plans. Although these inspections will be much less frequent than under present LEA processes, it was encouraging that such plans would be scrutinised for their effectiveness. The school that had not had a plan was due to be inspected next summer, so the planning process will have to be in place well before then.

Parents should be involved more in addressing priorities, as this might help the vocal ones to feel more involved in discussing potentially conflicting priorities when decisions have to be made.

Grant maintained status will impact on the ways in which school development plans can be incorporated into LEA planning. Schools in one of the LEAs have expressed the hope that it will be possible to maintain an informal relationship with the LEA, although the formal relationship will change. They want to retain the link partner role and involvement in planning. At present the respondent was not sure whether the LEA would receive the plan if they contract successfully for services. There was concern that the implications of opting for grant maintained status were not yet fully understood by many headteachers and governors.

The *funding* of schools by central government is likely to be much less precise in compensating for disadvantage than at present. The example was given of one school in the project, which used to get a much higher weighting.

Time spent on school development planning does not appear to have caused concern, and indeed the process has been welcomed. This is in marked contrast with other current and recent government initiatives. On the whole there has been an enthusiastic response to involvement in the process in spite of other pressures on primary schools.

People who find comfort in predictability may idealise about a stable context in which a rational plan can be developed and implemented, but reality involves clarifying what can be put off and why. They welcome a *practical process* that looks rational, because it involves clarity about what they are capable of, what they are accountable for, and justifies what they are doing. The process helps the school to articulate a sense of direction that helps staff, governors and service providers, but it is perhaps too early yet for the impact of such plans to be clear.

Scepticism about the value of the process is encouraged by externally determined priorities seeming to undermine the need for school-based

planning. However, one respondent considered that this is a stage that schools need to grow through, in the same way that approaching LMS led some to focus on computing detail rather than thinking strategically.

The final comment from one respondent was concerned with whether development planning made any difference to a school. Her firm conclusion, from the viewpoint of an experienced observer, was that a commitment to it does make a difference that far exceeds mere access to priorities. She considered that its impact is to free people to clarify and articulate what it is that they are trying to achieve with pupils.

7. Conclusions

The dual aims of interviewing these LEA link-people were mentioned at the beginning of this chapter on page 115.

Three elements emerged in comparing the views of the interviewees with those expressed in response to the national survey of LEAs. First, that the year's gap between the two sources of data was reflected in some of the answers. The process of reducing the influence and responsibilities of the LEAs had moved on significantly. Second, that the attitudes expressed by the three LEAs in London and the southeast broadly reflected those that had been expressed by that region in the national survey, but that they are not necessarily typical of the UK as a whole. Third, that the quality of the perceptions expressed by interviewees was closely linked with that person's seniority and responsibilities. In some cases there were wider gaps between levels of understanding within LEAs than between those of a similar level in different LEAs. In the context of interviewing, such gaps tended to be clearer than was feasible in interpreting written responses to the national survey.

The other intention of interviewing LEA link-people had been to compare their views with those expressed by school-based staff. As has been mentioned already, it has not been possible in the ESRC project at this stage to complete statistical comparisons. However, evidence from project interviews with governors of these schools is mentioned in chapter 13, and occasional reference is made elsewhere to other project interviews with headteachers and classteachers.

In the next chapter the focus moves from the LEA perspective to that of the headteachers, with a consideration of the key planning issue of LMS.

Chapter 8

LINKS WITH THE BIRMINGHAM SURVEY OF LMS

The context of Local Management of Schools (LMS)

Pragmatic headteachers are most likely to appreciate the need for school development planning when it relates to governmental requirements or to perceptible benefits in the leadership of their schools. The introduction of the national curriculum, of local management and of national inspection arrangements have not been accompanied by legislation requiring a development plan, but by DES Memoranda that require LEAs and schools to plan. Consequently the importance of the planning process has been emphasised without defining the ways in which this should be implemented.

Financial planning is only one aspect of LMS, but it is tending to be seen as an increasingly important core by some governors and headteachers as they, rather than the LEA, become responsible for the strategies and tactics on which the development and maintenance of the school depends. Experience in LMS evolved from experimental work before the 1988 Act in several LEAs, notably Hertfordshire's 'cheque book' scheme from 1950; ILEA's 'Alternative Use of Resources' scheme from 1973, Cheshire's 'Limited Cost Centres' from 1976 and Solihull's pilot scheme, which included expenditure on staffing, from 1981.

Cambridgeshire introduced 'Increased Financial Responsibility' (IFR) in 1977, giving schools responsibility for controlling capitation, which involved certifying and coding accounts. This was followed by a pilot scheme for 'Local Financial Management' (LFM), the aim of which was ..

"to enable the Governors and Head of each school to make the most effective use of the resources available to them and to give each Head flexibility within an agreed budget to manage the school."
(Cambridgeshire 1982).

Six secondary and two primary schools began in 1982, though one of the primary schools withdrew after three months. (Hinds 1984, Stenner 1986). By 1987 LFM was extended to all secondary schools and ten primary schools

in Cambridgeshire, and there were pilot schemes in 20 LEAs. In the light of studying the experience of LFM, Coopers and Lybrand (1988) focussed on the financial element of LMS

"It is difficult to say whether, in the long run, LMS by itself would lead to net savings or net costs; the position will vary considerably between LEAs. On balance, we would be surprised if there were net savings."
Coopers & Lybrand 1988 p.49

One of the key Cambridgeshire headteachers concluded a publication with the following comment :

"..schools do not exist to provide examples of financial efficiency but to educate young people. Their prime concern should be to provide good teaching and learning opportunities in a caring and structured community. The only reason for my personal interest in LFM and my commitment to it is that I believe that it enables a school to achieve these objectives more effectively than under the traditional arrangements for financing schools"
Downes 1988 p 164

The LEA guidelines for schools had varied in the emphasis given to the link between LMS and school development planning. Some LEAs had been specific, such as Cambridgeshire's "Learning Now : the Cambridgeshire experience in school development planning" (1990); Sheffield's "School development planning under LMS" (1991) and "Development planning in West Sussex : support materials for the LMS programme" (1991). They tend to stress the broad view of LMS with phrases such as

"The Local Management of Schools is not just concerned with a transfer of financial responsibility; it is concerned with all aspects of the management of schools at a local (i.e. school) level"
(Sheffield 1991).

The experience of LFM encouraged the broader interpretation of management to be incorporated in the development of the 1988 Education Reform Act and the subsequent Circular 7/88. Nevertheless, the financial core continues to be the most important element for those involved in planning, implementing and monitoring LMS. As previously mentioned, 86% of the LEAs in my national survey indicated that they expected financial issues to be included in school development planning.

The Education (Schools) Act 1992 requires that the "efficiency with which the financial resources made available to schools are managed" will be included in the inspection arrangements. Judgements will be made about ..

“the quality of financial management; the soundness of financial decisions; the efficiency and effectiveness with which resources are deployed to achieve the school’s aims and objectives and to match its priorities; the efficiency of financial control; and the assessment of any steps taken by the school to evaluate its cost-effectiveness.”

OFSTED 1993a

The Audit Commission has also emphasised the clear links between the priorities in the school development plan and resources to achieve them under LMS arrangements :

“The school should have a medium term educational and budget plan (covering at least three years) indicating the intended use of resources in achieving its educational goals. Even though the funding available to each school will change annually, the school development plan should outline which areas are the priority for spending and why.”

Audit Commission 1993b

Birmingham LMS survey

This chapter juxtaposes some of the findings of the national survey described in chapter 6 with findings of ‘The Impact of Local Management on Schools Project’. This has been directed by Hywel Thomas, with Alison Bullock and Margaret Arnott of the University of Birmingham, on behalf of the National Association of Head Teachers. This team have kindly allowed access to some of their data and discussed their findings with me.

Data was collected initially from headteachers between June and October 1991, nine months before my survey of LEAs. A stratified random sample elicited a response from headteachers in all but 3 LEAs in England and Wales outside the former ILEA. There was a 41% response rate (primary 42%; secondary 34%), so the views of 812 headteachers are represented in the first phase. A follow-up questionnaire was sent to a sub-sample in summer 1992, which coincided with my LEA survey, and this achieved a 75% response rate, with replies from 185 headteachers.

Comparisons between the responses of the headteachers and of the LEAs need to be made with care, so the questions from each survey are reproduced in full before the responses are given. The following issues will be summarised : policy; LEA guidelines; practice; preparation of the school development plan; helpfulness of the plan to schools; and helpfulness of the plan to LEAs.

To avoid repetition in the following comparisons, "Birmingham" denotes the Hywell Thomas LMS survey and "London" denotes my survey of LEAs. Under each heading the Birmingham findings are followed by London findings and comments. References to Birmingham statistical tables relate to Arnott et al (1992). Where possible, figures relating to primary schools have been used, as my national survey (chapter 6) and the ESRC project (chapter 7) related specifically to the primary phase.

1. Policy

Birmingham : Is it LEA policy for schools to prepare development plans?
(table 2.1) *Yes 99% No 1% (missing cases 11)*

	<i>LEA number</i>	<i>no.</i>	<i>returns</i>	<i>sample</i>	<i>%</i>
No (Primary) :	29	2	12	29	41
	11	1	18	42	43
	41	1	21	40	53
	9	1	8	23	35
	16	1	9	20	45
	33	1	9	28	32
	ILEA	1	14	69	20
No (Secondary) :	80	1	5	11	46
	42	1	12	27	44

London : Does your LEA have a policy that all primary schools should have School Development Plans? (qu.4a)
Yes 98% No 2%

No :	45	0	0	16	0
	(being trialled)				
	80	1	5	11	46

The high level of agreement between responses from the heads and from the LEAs indicates that there are policies in place in virtually every LEA in England and Wales. Although a small proportion of headteachers were not aware of these policies, most of their colleagues in the same LEA were aware of them. There was no correlation between such awareness and the proportion of the headteachers' sample that responded to the survey, except that none of the 16 schools in LEA 45 responded.

2. Guidelines

2.1 Birmingham : Has the LEA provided guidelines for the preparation of school development plans? (table 2.2)

Yes : 93% No : 7% (missing cases 18)

London : Has your LEA provided guidance to primary schools about the content or process of school development planning in primary schools? (qu.5.a)

Yes : 98% No : 2%

Although the details of these responses have not been analysed, there appears to be a significant level of agreement.

2.2 Birmingham If yes, have these guidelines been : (table 2.3)

helpful 64%

unhelpful 4%

neither 26%

If no, would you welcome guidelines?

welcome 5%

not bothered 2%

not wanted 1%

London No comparable question asked about helpfulness to the school, though questions about analysis and use of plans by the LEA

This gives a useful insight into the attitudes of the respondents. It may be reasonable to assume that a proportion of those who found the guidelines neither helpful nor unhelpful either thoroughly understood the issues and did not need such guidelines, or had not read them and so were unwilling to make a judgement. The 5% of the 2% who had not received guidance but would have welcomed it represents such a small number that it would seem that some sort of guideline was available to virtually all headteachers who wanted such material.

2.3 Which LEA guidelines were considered unhelpful ?

25 primary schools in 21 LEAs considered the LEA guidelines unhelpful. This represents 4% of the schools that responded, spread across 18% of the

LEAs. More than one primary school in 3 LEAs found the guidelines unhelpful :

<i>LEA number</i>	<i>(primary & secondary)</i>		<i>returns</i>	<i>response</i>	
	<i>no</i>	<i>%</i>		<i>sample</i>	<i>%</i>
11	3	17	18	42	43
41	2	10	21	40	53
7	2	20	10	23	44

	<i>(primary & secondary)</i>			<i>response</i>	
	<i>no</i>	<i>%</i>	<i>returns</i>	<i>sample</i>	<i>%</i>
<i>Counties</i>					
3	1	9	11	26	42
10	1	5	19	30	63
1	1	7	14	34	41
31	1	6	18	36	50
5	1	10	10	26	39
36	1	9	11	23	48
46	1	14	7	23	30
17	1	5	19	54	35
<i>Metro districts / boroughs</i>					
83	1	13	8	9	89
56	1	20	5	8	63
62	1	20	5	18	28
66	1	33	3	8	38
78	1	14	7	7	100
85	1	33	3	9	33
53	1	25	4	9	44
71	1	25	4	9	44
92	1	50	2	8	25

2.4 Which LEA guidelines were considered neither helpful nor unhelpful?

Half or more of those responding from the following LEAs felt this

LEA no:

5	50% of 10 schools
15	67% of 3 schools
25	50% of 2 schools

This may indicate that guidelines issued by these LEAs did not communicate the issues as effectively as others.

2.5 Which LEA guidelines were considered helpful by all the schools that responded?

LEA number :

9	8 schools
14	12 schools
20	2 schools
40	1 school

2.6 Which schools would welcome guidelines ?

31 primary schools in 20 LEAs would welcome guidelines:

		(primary & secondary)			response
	no	%	returns	sample	%
Counties					
41	5	24	21	40	53
29	2	17	12	29	41
26	2	6	34	58	59
27	2	8	24	56	43
11	1	6	18	42	43
21	1	5	21	55	38
28	1	7	15	33	46
36	1	9	11	23	48
37	1	20	5	10	50
42	1	8	12	27	44
ILEA	1	7	14	69	20
Metropolitan Districts / boroughs					
80	3	60	5	11	46
82	2	29	7	10	70
56	1	20	5	8	63
70	1	25	4	11	36
62	1	20	5	18	28
59	1	25	4	7	57
86	1	33	3	6	50
51	1	17	6	20	30
79	1	14	7	13	54

3. Practice

3.1 Birmingham : Does the school have a development plan? (table 4)

Yes 95% No 5%

(missing cases 18)

London : What proportion of primary schools have sdps for
1991 - 2 (qu 4c)

All or almost all 85%

Three quarters 11%

Half 3%

(2 London boroughs / 1 county)

Less than half 1%

(1 Welsh & 1 English county)

The London figures relate to the number of LEAs, regardless of the number of schools in those LEAs. If the basis of the number of schools was to be used, the result would be close to the 95 : 5 ratio.

3.2 Birmingham If the school has an sdp, when was it produced in its present form? (table 5)

London If the LEA has a policy that all primary schools should have sdps, when was this policy first implemented?
(qu 4b)

The surveys differed both in their emphasis to the question and in their use of years. A comparison of the Birmingham figures for primary and secondary with the number of primary schools in the London survey shows the following :

<i>Birmingham</i>	<i>%</i>	<i>London</i>	<i>%</i>
<i>1991</i>	<i>39</i>	<i>91/2</i>	<i>8</i>
<i>1990</i>	<i>38</i>	<i>90/1</i>	<i>33</i>
<i>1989</i>	<i>11</i>	<i>89/90</i>	<i>36</i>
<i>1988</i>	<i>1</i>	<i>88/89</i>	<i>16</i>
<i>before 88</i>	<i>1</i>	<i>before 88</i>	<i>5</i>
<i>missing</i>	<i>10</i>	<i>missing</i>	<i>2</i>

(n.b..... The Birmingham percentages in this table have been adapted on the basis of the raw scores to include the "missing" percentage for comparability.)

3.3 Birmingham How many years does the plan cover? (table 6)
 1 : 24% 2 : 15% 3 : 40%
 4 : 8% 5 : 14%
 (*missing cases 84*)

London No comparable quantitative data, other than written comments from LEAs and evidence from the pilot schools.

3.4 Birmingham Is the plan revised annually? (table 7)
 yes 97% no 3%
 (*missing cases 70*)

London No comparable quantitative data, other than written comments from LEAs and evidence from the pilot schools

4. Preparation of the school development plan

4.1 Birmingham Has the need to prepare an sdp caused you to review your statement of aims? (table 8)
 yes 54% no 46%
 (*missing cases 66*)

London No comparable quantitative data, other than written comments from LEAs and evidence from the pilot schools

Given that these were heads who took the trouble to respond to the survey, the negative response seems high.

4.2 Birmingham Who is principally involved in the preparation of sdp? (table 9)

London Is there an LEA policy that any of the following (10 roles) should be involved in the planning process with the Head (qu.6)

The data from the headteachers has been grouped into 11 categories, of which 4 emerge as containing more than 5% of the schools: staff, senior staff, head, governors and staff. The categories are explained on page 57 of the report. (Arnott et al 1992) The data from the LEAs has not been grouped in this way.

i. Staff involvement

Birmingham	<i>Head & staff</i>	33%
	<i>Head, governors & staff</i>	15%
	<i>Everyone</i>	2%
	<i>Governors, staff, adviser</i>	1%
	<i>Others</i>	5%
	<i>total</i>	56%
London	<i>Head and teaching staff</i>	91%

ii. Senior staff involvement

Birmingham	Senior staff = Head, Deputy head and senior management team	
London	Head & Deputy head	
Birmingham	<i>senior staff</i>	23%
	<i>senior staff & governors</i>	2%
	<i>senior staff/governors/PTA</i>	1%
	<i>Chair & senior staff</i>	1%
	<i>total</i>	27%
London	<i>Head and Deputy with or without others</i>	89%

iii. Headteacher

Birmingham	<i>Headteacher (alone?)</i>	15%
London	<i>Headteacher with no others</i>	2%

iv. Governors

Birmingham	<i>Governors & staff</i>	15%
	<i>Governors & senior staff</i>	2%
	<i>Everyone</i>	2%
	<i>Govs & Head</i>	1%
	<i>Govs, staff & adviser</i>	1%
	<i>Govs, senior staff & PTA</i>	1%
	<i>Chair, senior staff</i>	1%
	<i>Others</i>	5%
	<i>total</i>	28%
London	<i>Governors</i>	90%

v. Adviser

Birmingham	<i>Everyone</i>	2%
	<i>Governors, staff, Adviser</i>	1%
	<i>Others</i>	5%
	<i>total max</i>	8%
London	<i>inspector / adviser</i>	74%
	<i>officer</i>	28%

vi. Parents (other than as governors) and pupils

Birmingham	<i>Govs, senior staff, PTA</i>	1%
	<i>Others</i>	5%
	<i>total max</i>	6%
London	<i>Parents</i>	29%
	<i>Pupils</i>	11%

The wide discrepancy between the surveys may reflect

- ~ the difference between policy and practice;
- ~ a change over the year between the surveys;
- ~ exaggerated perceptions from either or both perspectives?
- ~ atypical responses from sample?
- ~ the use of the phrase “principally involved” in Birmingham’s questionnaire and “involved “ in London’s ?
- ~ a mixture of these and / or something else

5. Helpfulness of the plan to schools

Birmingham	Please comment on whether and in what way the preparation of a school development plan has been helpful. (table 10)												
	<table><tr><td><i>planning, prioritising, evaluating</i></td><td>56%</td></tr><tr><td><i>some help, mixed feeling</i></td><td>21%</td></tr><tr><td><i>working together</i></td><td>9%</td></tr><tr><td><i>not helpful</i></td><td>9%</td></tr><tr><td><i>formalised agreed plan</i></td><td>3%</td></tr><tr><td><i>more work, time consuming</i></td><td>1%</td></tr></table>	<i>planning, prioritising, evaluating</i>	56%	<i>some help, mixed feeling</i>	21%	<i>working together</i>	9%	<i>not helpful</i>	9%	<i>formalised agreed plan</i>	3%	<i>more work, time consuming</i>	1%
<i>planning, prioritising, evaluating</i>	56%												
<i>some help, mixed feeling</i>	21%												
<i>working together</i>	9%												
<i>not helpful</i>	9%												
<i>formalised agreed plan</i>	3%												
<i>more work, time consuming</i>	1%												
London	No comparable question asked about helpfulness to the school, other than written comments from LEAs and evidence from the pilot schools												

6. Helpfulness of the plan to the LEAs

The Birmingham survey asked the headteachers what new information had been collected by the LEA and the school between September 1989 and June 1991 for the purposes of monitoring the school's performance. Only 58 percent of the replies answered this question.

37 percent of the headteachers considered that the LEA had required no new information, and 24 percent replied that the school had required no new information. The responses from the majority indicated that at the time of the survey the collection of most new monitoring information was not linked with the school development planning process, either by the LEA or by the schools.

It would appear that the headteachers either do not see the school development plan as being a systematic way in which the either the LEA or the school co-ordinate the collection of information for monitoring the school's performance, or that they are not yet accustomed to monitoring performance.

The London findings indicate a similar situation. When asked whether the LEA analyses the plans, the response was :

no	5%
partial analysis	59%
extensive analysis	35%
no response	1%

The use made of the plans by the LEA is indicated by the question:

Do LEA staff refer to SD plans in :

	<i>often</i>	<i>occasionally</i>	<i>never</i>
inspections	86	8	3
monitoring	89	11	0
support	53	41	5

Although the questions asked of the headteachers and the LEAs are dissimilar, the variations between these responses contrast to such an extent that it would seem that either the situation had changed markedly between the two surveys (1991 - 1992), or that headteachers underestimated the extent to which LEAs refer to school planning documents for information.

Another reason for the gap may be that LEAs at an early stage of LMS or of development planning may collect information about financial issues in other ways rather than linking the two approaches. Where governors are kept at arms length rather than involved in LMS or development planning, the headteacher may even prefer to keep the two processes separate to retain more control. Where LEAs expect schools to incorporate such data into their planning, but do not analyse it because of a lack of resources, personnel or expertise, the schools may perceive the process as a waste of time if they feel the outcomes are being wasted.

Conclusions

Relationships between LEA officers and headteachers vary across the 135 authorities, and have changed over the years. Part of the motivation to become a primary headteacher has been to be captain of the ship whilst retaining close contact with the children and personal teaching skills. In some areas the LEA was seen as a group of meddling bureaucrats, accountable to

politicians. In other areas, headteachers work with LEA staff as colleagues who can open up opportunities and provide support and guidance.

The responses to both surveys indicate that the variety of traditions across the country should not be underestimated. Individuals in the role of headteacher, officer and inspector display a wide spectrum of characteristics from the 'hawk' to the 'dove'. The ethos in a particular school or LEA also varies considerably along a similar continuum (e.g. Cambridgeshire 1992, 1993). The impact of central government is considered in a later chapter, but the effect of the national context is also significant (HMI 1992).

The evidence from the LEA officers and the headteachers responding to the two surveys mentioned in this chapter indicate consensus over four issues:

- ~ that almost all LEAs have policies in place to the effect that primary schools should have development plans;
- ~ that almost all LEAs have provided guidance, and most headteachers have found this helpful;
- ~ that almost all primary schools had development plans by 1992, and
- ~ that plans were normally revised annually.

There was less of a match over the actual preparation of the plan between what LEAs intended and the actuality as reported by these headteachers. Not only are statements of aims reviewed less, but teaching staff, governors and LEA staff are involved less.

It is perhaps understandable that headteachers responding to a survey commissioned by their professional association would emphasise the role of the headteacher. It is also understandable that LEA officers would stress the importance of both leadership and consultation by the headteacher.

The impression given by responses to both surveys is that school development planning has taken root over recent years and, on the whole, is now flourishing. However, one in ten of the headteachers were not using the plan in ways that they found useful and a similar proportion of LEAs were not referring to the plans in their monitoring role. Such findings are among the indications that the potential of the planning process was not being fully realised at the time of these surveys either by schools or LEAs. The next chapter considers some of the more positive aspects.

Chapter 9

DISTINGUISHING BETWEEN THE LEAs

Consideration of the LEA's approaches to the content and process of school development planning makes it feasible to identify differing profiles of LEAs along a continuum from low to high levels of involvement.

The factors used here to indicate the level of involvement are primarily taken from the LEAs' responses to the national survey, modified in the light of other evidence from LEA materials, the ESRC data and the Birmingham survey of headteachers. At the end of my national survey there was a request for the respondent - normally a senior officer or inspector - to add views and judgements on the basis of their experience. Some of these helpfully refined the nature of their answers to earlier questions.

The areas are as follows :

- ~ established policy, whether formally agreed or common expectations
- ~ extent of school development planning in the LEA
- ~ types of issues incorporated in plans
- ~ extent of participation in planning processes

- ~ extent of support and guidance for the planning process from the LEA
- ~ extent and quality of use made of school plans by the LEA.

A typology was generated based on the extent to which the LEA was getting involved in school planning, from 'minimalist' through 'supportive' and 'proactive' to 'systematic'. LEAs were then allocated to these four types of involvement on the basis of their response to the six areas of expertise identified above, with most weight being given to the last two areas.

Owing to the commitment in the enquiry form to respecting confidentiality, it is not appropriate to include a map which would effectively illustrate the incidence of each type of LEA. However, it is feasible to summarise the data in the form of positive descriptions of different types of involvement, and generalisations about trends will be mentioned in later chapters. For example, more LEAs were saying that they used school development plans as part of

their information system than might be expected by schools that perceived such plans as part of a control system.

Each type of involvement is presented here in positive terms:

i. Minimalist

The LEA considers that encouragement of school development planning is increasing unnecessary bureaucracy. Schools should be responsible for their own management, with the LEA monitoring the extent of its success or failure. Paperwork between schools and the LEA should be minimised in order to focus staff time in schools and the LEA on teaching and management rather than on documentation related to accountability.

The LEA recognises the necessity of complying with central government mandates to avoid criticism or loss of grant. It expects schools to submit plans relating to the introduction of the national curriculum and in-service priorities, and monitors achievement of targets.

Up to 10 per cent of the LEAs are included in this category.

ii. Supportive

The LEA recognises the value of development plans and planning processes to effective management in the school. In the early stages it emphasises the plan itself. Later it tends to focus more on improving the planning processes rather than the end-product. It develops guidelines, in-service materials, and a strategy to promote an understanding of planning as a management tool, both for the school and the LEA.

About 35 per cent of the LEAs are in this category.

iii. Proactive

The LEA promotes the linking of professional issues with other pressures on management, such as LMS and close involvement of governors, parents and

non-teaching staff. Networking with inspectors, curriculum advisers, officers, other schools, local employers and other services has become an integral part of determining planning priorities.

About a quarter of the LEAs are in this category.

iv. Systematic

The LEA encourages schools to incorporate internal analysis, target setting and review. It relates the prioritisation of policies and resources at LEA and at school levels. It incorporates short, medium and longer term planning cycles into a structure that is economical in its use of time, is supported by those involved, and is flexible but firm enough to direct activity that achieves desired outcomes.

Approximately 30 per cent of the LEAs are in this category.

Conclusions

This typology deliberately incorporates characteristics rather than watertight boundaries. In some cases evidence about the same LEA suggested that it would be misleading to equate certain characteristics with every area of the LEA - individual officers and inspectors did not necessarily all display the same characteristics or reflect an agreed style. In other cases the changes to the LEAs were forcing changes that were in conflict with a previous style of working. Inevitably the data itself comprises a variety of snapshots, but the range of evidence on each LEA does combine into a montage. The typology is intended as a sketch to convey an impression rather than as a technical drawing from which an measured artefact could be built.

The next three chapters consider the implications for the LEAs that arise from the empirical data and other evidence.

Chapter 10

THE ROLE OF L.E.A.s IN SUPPORTING STRATEGIC PLANNING IN PRIMARY SCHOOLS :

1. INTRODUCTION

1.1 Context

The aims of education, and the rights of every child in the UK to benefit, are defined in legislation and evolved gradually between the 1944 and 1988 Acts. However, the economic, political and social contexts within which schools are operating have changed significantly in the last half century. The implications of these changes and the complexity of the diverse issues facing leaders in schools, LEAs and universities are considerable.

Consideration of the management of change, for the purpose of this chapter, can be reduced to three core elements:

- i. the overarching context of policy and resources, that in a public service involves democratic procedures, incorporating national and local political debate and decision-making;
- ii. the strategic implementation of such policies; and
- iii. the operational concerns of front-line action.

Applying these categories to the education service will include a focus on ways in which LEAs have been helping primary schools to improve by planning ahead more effectively.

Planning has become increasingly important with the changing pace of change.

"The greatest problem faced by school systems is not resistance to innovation but taking on too many changes indiscriminately. Selectivity and synergy replace ad hocism in institutionally developed organisations." Rosenholtz (1989)

1.2 Preface

The research proposal for the project “The Impact of School Development Planning in Primary Schools” that was submitted to the ESRC in January 1991 identified a series of postulates culled from empirical studies that would be tested by this investigation. These included the propositions that schools are likely to improve if:

- iv. an outside agent is involved; and
- v. the implementation of the change-plan is supported by all appropriate external authorities.

The research questions included

- ii. Are some plans more effective than others; and
- iii. What are the key elements of successful practice and the implications of these for LEAs and schools.

Subsequently the addition of the survey of LEAs in Spring 1992 reported in chapter 6 has made it possible to include a wider consideration of the role of LEAs in supporting school development planning. In the context of the project, the outcomes of the survey will contribute to testing the postulates and widening some aspects of the data on which conclusions to the project’s research questions can be based.

1.3 Hypotheses and statements to be considered

The five chapters in the first section of the thesis referred mainly to published work, while the four chapters in the second section have drawn mainly on opinions expressed by inspectors, officers, headteachers and governors in written and interview responses. Together these chapters have indicated the quantity, quality and variety of the available evidence. The approach in this chapter is to consider four core elements of this evidence by expressing them as hypotheses :

- ~ that school development planning is now an integral aspect of primary schools in LEAs throughout the UK;
- ~ that the headteacher shares responsibility for developing and implementing the plan;

- ~ that the LEAs consider that they have had a significant role in the school development planning process; and
- ~ that strategic planning in primary schools has potential for further development

Each of these four hypotheses are then approached through a variety of statements. Each statement has been designed to precis a variety of sources, rather than to be directly attributable to a specific author or commentator. The literature and the relevant evidence from the three surveys described in chapters 6 to 8 is then presented. As will be seen from the subsequent conclusions, some of the statements are supported and others are challenged. The results are then collated and a conclusion is drawn about each hypothesis.

The hypotheses and statements for consideration are listed below :

Hypothesis 1. That school development planning is now an integral aspect of primary schools in LEAs throughout the UK

Statements for consideration:

- 1.1 “ LEAs now expect primary schools to have school development plans”
- 1.2. “ Most primary schools now use school development plans.”
- 1.3 “ The introduction of the national curriculum and developing staff abilities to deliver it are at the centre of school development planning at present”
- 1.4 “ Most LEAs have only begun to support strategic planning processes in primary schools relatively recently.”
- 1.5 “ The location of the LEA in relation to its neighbours has been as important as the size or density of its population in influencing whether it promotes development planning.”
- 1.6 “ LEAs have developed guidance for schools about how to begin such planning.”
- 1.7 “ LEAs vary in their relationships with schools.”
- 1.8 “ The situation in Scotland differs from the remainder of the UK.”

Hypothesis 2 That the headteacher shares responsibility for developing and implementing the plan.

Statements for consideration:

- 2.1 “ The role of the governors is to approve the priorities in the school’s development plan.”
- 2.2 “ School development planning can only succeed if the teachers are involved.”
- 2.3 “ Given the importance of the learning which occurs while pupils are outside school, the importance of parents in the life of the school seems crucial.”

Hypothesis 3 That the LEAs consider that they have had a significant role in the school development planning process

Statements for consideration:

- 3.1 “ Since the introduction of local management, LEAs can analyse but not dictate the school’s priorities.”
- 3.2 “ LEAs may collect the plans, but they don’t use them for anything.”

Hypothesis 4 That strategic planning in primary schools has potential for further development

Statements for consideration :

- 4.1 “ Most approaches to school development planning still fail to address the culture of the school.”
- 4.2 “The emphasis has shifted in recognising that the process of preparing the plan can matter more than the subsequent content.”
- 4.3 “ The need for planning will increase with the changing approaches to support services.”

2. HYPOTHESES

Hypothesis 1. That school development planning is now an integral aspect of primary schools in LEAs throughout the UK

1.1 “LEAs now expect primary schools to have School Development Plans”

Literature

In England and Wales the DES made it clear to LEAs in December 1988 that the introduction of the national curriculum needed planning at LEA level, but did not direct that schools should prepare such plans. Extracts from this letter and subsequent communications were quoted in chapter 3 on page 35.

A similar approach was taken to in-service resources by the DES. By the GEST circular issued in July 1991, it was expected that the grants for INSET should be predominantly delegated to schools, and “*Bids should take account of needs identified in curriculum or school development plans.*” The expectation by this time was that effective school development planning would determine LEA in-service budgetary decisions.

Survey evidence

The evidence from the survey strongly supports statement 1.1. All but two of the LEAs in England and Wales have an explicit policy or expectation that schools should have such plans. One (LEA 80) stated that it “does not make it a requirement, but gives advice and guidance that all schools should have an SDP.” One other (LEA 105) stated that “the ILEA expectation remains”. The situation in Scotland, where half the regions did not have such a policy at the time of the survey, is considered in section 1.8 below.

Conclusion

At the time of the survey virtually all LEAs in the UK expected primary schools to have development plans.

1.2 “Most primary schools now use school development plans.”

The survey deliberately separated the questions about LEA policy from those about implementation. However, there is a concern that the LEA officers answering both questions might be over-optimistic in describing the actual situation in schools. Consequently cross-referencing their responses with the data generated by the Birmingham survey of headteachers was important.

Survey evidence

In 85 percent of the LEAs in England and Wales, all, or almost all, of the primary schools are reported to have had development plans for 1991-2. In a further 11 percent of the LEAs, three-quarters of the schools had them.

As might be expected, where a later start had been made in the LEA, for one reason or another, the proportion of schools was lower. Only one LEA (45) said they had no schools involved yet, but their draft framework reflects the influence of the DES project, so implementation seems likely. One other LEA (18) had only about a quarter of the schools involved.

Conclusion

LEAs and headteachers reported that most primary schools in England and Wales had development plans in 1991-2. This was not the case in Scotland and Northern Ireland.

1.3 “The introduction of the national curriculum and developing staff abilities to deliver it are at the centre of school development planning at present”

Literature

As was mentioned in 1.1 above, the introduction of the national curriculum, related assessment procedures and financial measures for in-service training

were featured in administrative memoranda and the GEST Circulars in 1989 - 92.

Evidence

These emerged as the chassis onto which approximately half of the LEAs bolted several other areas which they considered would benefit from similar planning. Internal staff development priorities and organisational development clearly linked closely with resources for the provision of in-service training. Issues involving financial arrangements and premises were most relevant where LMS was being introduced in the primary sector. Some authorities, particularly in Scotland, also linked the achievement of contextual and ethos issues with the planning process.

Conclusion

The two national priorities of the curriculum and related staff development that exacerbated the need for planning feature in every LEA, though there is variation between the LEAs as to which other aspects are included.

1.4 “Most LEAs have only begun to support strategic planning processes in primary schools relatively recently.”

Literature

The recommendation in ILEA's Thomas report in 1985 (paragraph 3.94) is generally recognised as the first significant statement in this field, and the HMI report in the following year found only two examples (DES 1986). Over the next three years pressure from TVEI and then the DES to devolve funding and link LEA bids to school development planning had a considerable effect, but it has taken seven years in some areas. Some LEAs have been less enthusiastic about the change, and schools within LEAs have also varied in their attitudes. Although school development plans had been used increasingly in the secondary sector during the late 1970s and 1980s, it was

not until the requirements in the 1988 Act that the concept affected the primary sector in most LEAs.

Evidence

By the end of the 1988/89 year, primary schools were using plans in about 16 percent of the LEAs in England and Wales, and 6 percent in Scotland and Northern Ireland. In the following two school years, 1989 / 91, schools in 69 percent of the LEAs in England and Wales and 35 percent of those in Scotland and Northern Ireland introduced them. In 1991 - 2, they were joined by a further 8 percent of those in England and Wales and 29 percent of those in Scotland and Northern Ireland.

Conclusion

Before the 1988 Education Reform Act in England and Wales there was a greater tendency for strategic support for headteachers from individual officers to be poorly co-ordinated. LEA support since then appears to have been developing a greater coherence, and in some cases direct links were being made between schools' development plans and the LEA's medium term plan.

1.5 "The location of the LEA, in relation to its neighbours, has been as important as the size or density of its population in influencing whether it promotes development planning."

There are several elements in this issue that will be considered separately before coming to a conclusion:

- i. How far did officers share ideas across LEAs?
- ii . Where ideas were shared, was this between adjacent LEAs?
- iii. Is there any evidence that adjacent LEAs took similar decisions?
- iv. Is there any evidence that LEAs of similar size or type took similar decisions?

Literature

i. How far did officers share ideas across LEAs?

The DES project on School Development Plans was funded from April 1989 to August 1990 and worked with fourteen LEAs. It found at that stage that :

“Because of the considerable pressure upon them, many officers have had little opportunity to share ideas on development planning with other LEAs, have devised their policy and strategy very quickly to provide guidance for schools, and have had few opportunities to take stock”

Hargreaves & Hopkins 1991 p. 94

The 14 LEAs are identified in the initial publication (DES 1989) and in the light of more recent information this statement can now be questioned. The sample they used consisted of 9 counties, 2 metropolitan districts, 2 London boroughs and ILEA. Using the figures provided by the LEAs in my survey, only 4 of these 14 had introduced such planning by the end of the previous school year (1988-9), namely ILEA and LEAs 93, 3 and 25. Five other LEAs introduced it during the 1989-90 school year, four others in 1990-91 and one in 1991-2.

The personal and informal network of national contacts had been significant in the field of in-service education for several years (Beresford 1978), and at this stage continued to be a support for some of the initiators of school development planning. A second stage of more regular regional networking fostered the spread of the idea across some adjacent LEAs. In the late 1980s it had been institutionalised in the LEATGS funding of 1989 which deliberately promoted such links. HMI actively encouraged links, for example by convening an annual conference of LEA INSET inspectors. Experience with subject inspectors had reinforced the recognition that LEA inspectors, like teachers, are more likely to become “extended professionals” and foster the development and growth of the system if they experience significant in-service activities themselves. The Society of Chief Inspectors and Advisers was another such group, that helped school development planning indirectly through their work on performance indicators (SCIA 1990).

Fullan has summarised this need for networking well:

“Interactive professionalism .. serves simultaneously to increase access to and scrutiny of each other's ideas and practices....All successful change processes are characterised by collaboration and close interaction among those central to carrying out the changes ...

Alliances provide greater power, both of ideas and of the ability to act on them."

Fullan 1991 p.349

LEAs, like schools, need help from each other and from elsewhere to identify their individual strengths and weaknesses in a spirit of co-operation. The DES project and the HMI conferences were important factors that helped to reduce LEA parochialism in approaches to development planning.

Survey evidence

ii. Where ideas were shared, was this between adjacent LEAs?

The evidence from several factors in the survey indicates that ideas were shared between LEAs in some parts of the country. For example analysis of the dates when planning was introduced in LEAs shows that the majority of LEAs began in the same year as at least one adjacent LEA, regardless of their other characteristics.

iii. Is there any evidence that adjacent LEAs took similar decisions?

Several features resulting from decisions occur in common across groups of adjacent LEAs, such as whether full plans or just priorities are collected; and whether LEA analysis of the plans is partial or extensive. Similarly, the few LEAs that involve parents in planning are mainly adjacent to each other.

iv. Is there any evidence that LEAs of similar size or type took similar decisions?

The distribution of LEAs by their size, as measured by the number of primary schools, or by their type, such as metropolitan or county areas, does not correlate significantly with these patterns across adjacent LEAs.

Conclusion

It seems likely that ideas were often shared across adjacent LEAs, but that after a brief phase of formal links, this has tended to revert to informal links. It may be that other factors, such as key officers moving to adjacent LEAs, has had more effect than the regional groups, such as those with co-ordinators, as in Greater Manchester and East Anglia, that were active in the late 1980's.

1.6. “LEAs have developed guidance for schools about how to begin such planning.”

Literature

There are three distinct elements in the literature about school development planning, and negative views about the nature of LEA guidance appear to reflect the lack of communication between the elements.

i. Most LEA-originated literature on school development planning is produced by officers or inspectors / advisers as a result of a consultative procedure with key representatives of heads and teachers. In some LEAs policy guidelines have to be approved by committees of elected Members before being circulated to all schools. Depending on its culture and its willingness to encourage networking, the LEAs vary in their awareness of research or of developments elsewhere.

ii. National advice from the DES, HMI, or other significant projects such as the Hargreaves/Hopkins DES-funded project, is usually communicated directly to schools rather than via LEAs. It tends to identify and promote aspects of good practice and encourages generalisation of the findings. Where funding enables leverage on decision-making, this may be used to promote the implementation of the findings. Fullan pointed to the need for balance :

“Support without pressure wastes resources; pressure without support creates alienation”

Fullan 1988, quoted in Brown & Riddell 1991 p. 74

iii. Some academics have drawn together these two strands with applied research, and others have synthesised change theory and practical experience from other developmental contexts.

It is a matter for regret that in England and Wales the gap between each of these elements often seems to prevent useful outcomes based on comprehensive understanding. Consequently wheels are re-invented in a system that is decentralised in its research and development function, while centralised “advice” is only implemented when it carries clear expectation of adoption. “Central grants are an important political influence on policy outputs” concluded a recent paper which included a study of the ways in which matching grants stimulate the direction of spending decisions (Boyne 1990)

In Scotland the relationship between the regions, the Scottish Office and researchers appears to be closer. For example, an academic wrote recently:

“ Support from the education authority may do much to encourage ... schools self-evaluation activities to be devoted to the education authority's agenda, thus enhancing the whole system's evaluation capacity. In this way there can be a combination of both the specific ways over which the individual school has ownership and collegial aspects of educational goals stretching across the authority. The preparation of school development plans provides one way of encompassing this ambitious vision.” Riddell 1991.p76

Evidence

The issue of school development planning led to the generation of a variety of materials by LEAs, many of which have built significantly on the springboard provided by the DES project materials.

All LEAs except 3 Inner London Boroughs and 2 Scottish regions provided guidance. As schools in these authorities would have received guidance from ILEA or the Scottish Education Department, it seems likely that schools in every authority would have had access to some guidance.

Guidance or staff development materials were received by this survey from 44 LEAs, (listed in appendix C) and most of the remainder claimed that support materials had been produced and distributed to primary schools.

Conclusion

LEAs have given extensive guidance to schools in many areas of planning, and some guidance in almost every area. However, schools have not necessarily taken any notice of this guidance or appreciated its significance to them.

1.7 LEAs vary in their relationships with schools

Literature

The relationship between authorities and schools in promoting change in a US context has been summarised as being that ..

“ a balance between an incentive-based and a mandated school change project seems most workable”

Purkey & Smith (1985) p.367

The relationship between macro and micro dimensions in an organisation is usually complex. For example, combining sensitivity to individual needs with clear leadership requires skill at any level. The culture of some levels in an organisation may differ significantly from others in the same organisation, although the aims and goals are mutually interdependent. The introduction of development planning in primary schools provided scope for insensitive leadership at national, LEA and school levels.

The significance of bureaucratisation and involvement or engagement have been aptly summarised by Fullan:

“ Louis (1989) and others found that district-school relationships varied on two dimensions - the degree of bureaucratisation (i.e. degree of regulation) and the degree of engagement (i.e. interaction, communication). We can see analogous patterns in the role of states. High regulation and high monitoring can achieve minimal compliance at best. Low to medium regulation (guidelines more than prescriptions), combined with high engagement (negotiation, technical assistance, monitoring, feedback, problem solving) works better.”

Fullan (1991) p.270

Survey evidence

Some LEAs have been particularly supportive to primary schools, with collaborative production of guidelines and other materials, while others have stressed that planning is a requirement for national curriculum and INSET funding. Some have emphasised the importance of the process, while others have added planning proformas to the managerial functions of the headteacher.

Several LEAs, in responding to the question about policy, stressed that guidance and advice was a more appropriate term to use in the context of their communications about development planning.

Conclusion

LEAs do vary in their relationships with schools, if the tone and presentation of their documentation is used as an indicator. However, the changing legislative context between 1988 and 1993 may be reducing this variation in style. Where officers, notably inspectors / advisers, achieve good

relationships both with individual heads / teachers and with committees of their representatives, then the LEA's approach is more likely to be considered by the schools as being of general benefit.

1.8 "The situation in Scotland differs from the remainder of the UK"

Literature.

School development planning in Scotland has been linked with the 1991 Parent's Charter initiative in a way that will give greater coherence between statements between government policy, regional strategy and implementation at school level. Comparing the English and Scottish versions of the Parent's Charter illustrates the different approach:

The DES version states that

"The annual report from your school's governors ... should give you a good picture about the governors' plans and how they are putting them into practice." DES 1991c p.7

The Scottish Office version took the opportunity to make an explicit link with school development planning:

"All schools will be required to produce a document setting out their educational plans and targets for the two years ahead, with a report on progress over the previous two years. This document will be given to your School Board, so you can ask the Board or the school to tell you about it or let you see a copy." SOED 1991 p.11

The Scottish Office also took three other initiatives, as mentioned in chapter 6:

- i. It published a framework "The Role of School Development Plans in managing school effectiveness" (1991);
- ii. It commissioned a team of teacher-researchers with a dual brief - "to develop and refine an instrument which could be used by schools for evaluating their own effectiveness and quality; and to examine a range of ways in which that instrument could be integrated within school development planning".
- iii. It linked school auditing and planning in publishing the resultant materials (1992 a-d)

This proactive approach contrasts with the approach taken by the Department for Education and the Welsh Office, which issued administrative memoranda including expectation without guidance. However, these Scottish HMI materials were published a month after the survey questionnaires, and so their influence on the responses from the Scottish Authorities varies.

Survey Evidence

The response to the questionnaire showed clearly that such materials were needed. Only half of the Scottish regions had the same expectations as most LEAs in England and Wales. As the national curriculum aspect of the 1988 Education Reform Act did not apply in Scotland, the need to plan was not linked with the same priorities. Also, the system for funding staff development differs, so the two main national stimuli for planning made a different approach feasible. The survey shows that only one of the four regions involved had been involved in such planning for long.

Conclusion

The Scottish Office has issued support materials direct to the schools in a way that has not happened in England and Wales. They benefit from a later start in being able to build on some of the earlier research and experience of school development planning in England and Wales, and in particular from the insights gained from the field of school effectiveness and improvement.

Hypothesis 1 : Summary of findings :

Although the direct information about the use of planning processes in schools has been obtained from interviews and observation in only the three LEAs in the ESRC project, comparisons drawn between such evidence and the responses of all the LEAs (chapter 6) and the headteachers (chapter 8) indicate that such responses cannot be dismissed as rhetoric. The weight of evidence suggests strongly that school development planning is an integral aspect of primary schools throughout the UK, though the quality of planning and expectations about content vary considerably across the country.

Hypothesis 2 That the headteacher shares responsibility for developing and implementing the plan.

2.1 “Schools are accountable to their communities through their governors, and this should include their values and their priorities for development. So an important aspect of the governors’ role is to approve the priorities in the school’s development plan”

Literature

Given the widespread use of development planning in industrial contexts, it might be expected that governors from such backgrounds would have taken the initiative earlier. The historical development of this issue is considered in chapter 12. The raising of the profile of governors in recent years took a long time to build on the report of the Taylor Committee, that stated in 1977:

“ We have concluded that there is no aspect of the school’s activities from which the governing body should be excluded nor any aspect for which the headteacher and his colleagues should be accountable only to themselves or to the local education authority.”

DES 1977a (para 6.19)

“ Teachers need informed support. The society of which schools are a part can and does question their performance, but schools in turn need the understanding and help of society in their difficult task. Only a working partnership can meet these needs. We believe that governing bodies can provide a most appropriate setting for the conduct of this partnership” (para 6.20)

The Taylor Committee recommended that information and advice on the life of the school should be

“brought together in each school with the purpose of creating an effective but unobtrusive information system for the governing body”
(para 6.44)

This was followed by the first indication that explicit planning should take place at school level:

“The governing body would be able to put the information collected to short-, medium and long-term use. We would not wish to lay down any firm guidelines on how governing bodies should use their

information systems in the short and medium terms. By quickly reflecting any substantial changes over a wide range of the school's activities it would be an important aid in keeping the school under continuous review... At longer intervals the governing body would ask for the production of a complete and coherent picture of the school so as to appraise the school's progress as a whole and consider the extent to which its development matched their intentions."

(para 6.45)

In spite of these recommendations, most headteachers preferred the safety of keeping governors informed rather than involved in real prioritising or decision-making, until the legislation of the last four years forced the pace. Even in 1989 experienced authors wrote that :

" It is both necessary and prudent to secure the agreement, indeed, support of governors to the school's plan. It may be that some schools will seek to involve governors in the process of putting the plan together (for example, parent governors, teacher and staff representatives). In particular we would recommend that chairpersons should be kept fully informed and, wherever possible, involved."

Holly & Southworth 1989

Two years later, it could be asserted that:

" It is the Head's job to prepare a draft development plan for discussion by the governors. Once the plan is approved, the head will lead the staff in turning the plan into a series of Action Plans, which guide the staff in the process of implementation."

Hargreaves & Hopkins 1991 p.136.

Evidence

The provision in the 1988 and the 1992 Acts for involving governors in England and Wales is not being implemented evenly. Twelve of the LEAs in England and Wales did not expect governors to be involved in the planning process with the head teacher. Only 29 percent of the LEAs expected parents to be involved in the planning process separately from the governors, so presumably parental representation on governing bodies is considered the main form of access for parents to decision-making processes in the majority of LEAs.

The initial evidence from the interviews of governors in the ESRC project schools indicated that only a minority of them were involved in formulating the plan. Of the 18 governors interviewed from the 9 schools, only 5 had been involved in any aspect of formulating the plan, though 8 said they knew what their school's current priorities were. 11 had seen the completed written

plan, and 14 considered that development planning had made a difference to the school. In spite of this, 2 or 3 asserted that the governors had no role in formulating or implementing the plan. 9 of them said that ways of evaluating outcomes had not been discussed

In Scotland the 1988 legislation setting up School Boards “gave parents the right to a say in the running of their child’s school.” This was later consolidated in the Parent’s Charter, as was mentioned in 1.8 above.

Conclusion

In most of the UK, LEAs say that governing bodies are now involved in the school development planning process, though at the time of the survey there continued to be a few parts of England and Wales where the governing bodies were not yet seen to be responsible for agreeing the priorities in the school’s plan, in spite of the intentions of recent legislation.

However, if the experience of the ESRC schools is representative of the wider picture, many individual governors are not yet involved in the process.

2.2 “School development planning can only succeed if the teachers are involved”

Literature

“The greater the group agreement on crucial issues, the greater the tolerance which is possible for individuality and idiosyncrasy on other matters”

Rutter (1979) quoted in Dancy “The notion of the ethos of a school” in Dancy (ed) (1980) p.37

“ School effectiveness research demonstrates that schools that have a more positive impact on pupils’ academic and social outcomes are those in which teachers are consulted and involved in decision-making (Rutter 1979) and also in curriculum development “

Mortimore 1988, Stoll 1991 p.53

Yet schools and LEAs vary in their willingness to involve the teachers in identifying the school’s needs, while expecting the same teachers to accept

accountability for subsequent school development. One underlying factor may be differences in the culture of the school. Handy has differentiated between “club, role, task and person” cultures in organisations and has carried out an exploratory study to see how far these cultures can be observed in schools. (Handy & Aitken, 1986). The implication is that schools - even small primary schools - are often complex organisations with a variety of levels of understanding in their functioning. This has also been emphasised more recently by Louis and Miles :

“ Leadership-dominated early planning must shift to shared control with teachers and others. The control base expands as evolutionary planning unfolds.”

Louis & Miles 1990 p.214

The ways in which leaders involve and motivate their teams in differing contexts and cultures should be expected to vary, however desirable a general expectation of involvement such as the following might be:

“ School development plans have to be based on teamwork and the involvement of each member of staff in decisions about what is to be changed and how that is to be achieved.”

Riddell & Brown 1991 p.77

Survey Evidence

Such assertions might lead to the assumption that teachers are invariably involved in development planning, as is expected in Wales and Northern Ireland, but almost 10 percent of the LEAs in England do not include this expectation in their approach. For example, LEA 22 expect the deputy head and inspector/adviser to be involved, but not the other teaching staff. LEAs 54 and 87 expect the inspector/adviser but not teaching staff to be involved. LEA 13 expects the governors, but not the teaching staff. LEAs 17, 69 and 105 do not expect the headteacher necessarily to involve anyone else.

In some cases, the practice in schools may differ from the LEA advice. Nevertheless, it is perhaps surprising that so many LEAs expect their headteachers to manage their schools and implement development policies without necessarily involving their teaching staff in the planning process.

The importance of ‘ownership’ of school priorities by teachers is widely recognised. However, the interviews of both headteachers and classteachers

in the ESRC schools over two years revealed that the quality and level of involvement of teachers varied within each school and between schools.

Conclusion

The evidence from several sources indicates that teacher involvement in the process is less universal than might be expected. Although the data from the ESRC project about the success or failure of the planning process in particular schools is not yet complete, indications are emerging of the links between successful planning and teacher involvement.

2.3 “Given the importance of the learning which occurs while pupils are outside school, the involvement of parents in the life of the school seems crucial “

Literature

“.... one characteristic of the effective school is frequently a high level of parental involvement and support “

Riddell & Brown (1991) p75

The literature on parental involvement rarely extends to their involvement in the longer term development of the school. Yet there is a strong thread of such involvement from long before the Plowden Report stated that

“Teachers are linked to parents by the children for whom they are both responsible. The triangle should be completed and a more direct relationship established between teachers and parents. They should be partners in more than name; their responsibility become joint instead of several.”

Plowden Report : DES 1967

More recently the Parent’s Charter in England asserted that involvement ...

“ .. will help you to become a more effective partner in your child’s education. As a parent you have important responsibilities. Good schools work better if they have your active support. Your child’s education is your concern - and you will want to play your full part at every stage.”

DES (1991c)

One of the stumbling blocks that was not resolved in the 1960s was the relationship between the public services and the family as a unit. The Seebohm Report (1968) recommended the setting up by local authorities of a

unified social service department “providing a community-based and family-orientated service, which will be available to all.” Subsequent friction between education and social services departments was not helped by paragraph 226, which stated that “social work in schools should be the responsibility of the social services department.”

Some families that stay in the same area and have children spaced over several years are linked with a particular school for considerably longer than many teachers or governors of that school. Yet relatively few schools still appear to have a strategic approach to involve them, beyond providing information about their child’s progress and using them for fund-raising activities. Over the last 20 years some primary schools have gained confidence in involving parents to support the learning process. In 1970 the situation was described as

“A more revolutionary suggestion (than providing information for parents about what actually happens in the classroom), and one which to date has not been greeted with a great deal of enthusiasm by most teachers, is that which proposes that parents might give practical help with their children’s education ... a great deal of pioneering work along these lines has already been carried out in the United States, where, for example, many schools have long had a rota system of class mothers, whose main duties are to relieve the teachers of extraneous responsibilities.

Cave (1970)

Since then some areas have encouraged and even trained parents to support professionally trained and salaried teachers. In others, parental involvement in the school’s direction has been effectively incorporated through their representatives as governors.

Survey evidence

Most LEAs do not involve parents in school development planning separately from their representation on governing bodies, as was mentioned in chapter 6 (p.83). Although a quarter of the LEAs involve parents in the planning process, much of this is focussed in a few areas. 32 percent of the counties and 42 percent of the London Boroughs in England involve parents, but only 19 percent of the Metropolitan Districts and none of the authorities in Wales or Northern Ireland.

All the LEAs, except three, that involve parents also involve inspectors/advisers in the process. The intention is presumably to ensure that the views of parents, stereotyped as being parochial, lay and short term, are balanced with the LEA perspective, that is expected to be wider, professional and longer term.

One third of the LEAs that involved parents also involved pupils, though one LEA indicated that they involve pupils and not parents (LEA 63).

Conclusion

The involvement of parents in the life of school is being actively encouraged under recent legislation, but this involvement, beyond the role of parent-governors, is only including development planning in a minority of areas. Consequently, the stereotype of parental involvement, referred to above, is not yet showing signs of being radically changed as was anticipated in the early 1970s.

Hypothesis 2 : Summary of finding :

The headteacher shares responsibility for developing and implementing the plan, but the quality and extent of such sharing is not consistent across the country. In spite of widespread recognition that governors play an increasingly important role, that teacher involvement in identifying priorities as well as in implementing planning processes contributes to school improvement, and that schools benefit from involving parents more, the evidence of such elements in practice indicates an uneven picture across the UK. A change in the leadership style relating to the development planning role of headteachers is evident in the majority rather than in all the LEAs.

Hypothesis 3 That the LEAs consider they have had a significant role in the school development planning process

3.1. “Since the introduction of local management, LEAs can analyse but not dictate the school’s priorities.”

Literature

“The approach taken by the LEA to development planning is likely to be a major factor affecting the success of schools in developing planning and its own success in responding to the Educational Reform Act” Hargreaves & Hopkins 1991.94

School development planning incorporates the two dimensions of accountability and empowerment. These should be harnessed together, but if other elements in the culture of the LEA have been confrontational, they may pull in different directions. In this context, accountability for school improvement has become intertwined with school development planning. LEAs retain a responsibility to ensure that an appropriate service is provided throughout their areas, but some are more explicit than others in making it clear to their schools whether school development plans are part of this process.

Earlier approaches to accountability that involved LEA-initiated school-based reviews were criticised for their naivety of approach :

" Little use was made of data already in existence in schools. Where reports were required, they were generally acknowledged to be descriptive rather than judgmental ... Only one of the LEAs included procedures to validate the school's conclusions. The 'audit' conducted by the LEA's advisers (inspectors) was so different from the review that it was almost an unrelated exercise."

Hopkins / ISIP (1987) p.59

More recent work in this country and elsewhere (e.g. Comer 1992) has stressed the importance of distinct roles deployed in a spirit of partnership :

"Monitoring and evaluation are most effective when there is a sense of partnership between the school and the LEA, and the two approaches are integrated to serve the overlapping interests of both." ... a danger to be avoided is that the LEA 'validates' the process of self-evaluation, perhaps by joining in discussions and checking on procedures and documentation, but fails to validate the findings. The single most useful contribution of the LEA is to make, and make known, a genuinely independent assessment of the school's strengths and weaknesses based on first-hand observation of the learning in which pupils engage and the standards they achieve."

DES (1991b) p.18

Sensitively introduced self-evaluation in the context of school development planning can combine the issues of accountability and empowerment. Reflecting on the self-evaluation and growth planning processes in the Halton Board (Canada), Stoll writes:

" Teachers, together, must take more responsibility for measuring the quality of their work and the achievement of their goals Teachers and schools are often overwhelmed by their task. School self-evaluation can help them select what really deserves their time and energy."

Stoll 1991 p 49 / 52

In this country, the central government is reducing the role of local government in increasingly autonomous schools. If a school, in formulating its development plan, fails to take account of the national and local context in which it is operating, it is likely to find that some of its intentions cannot be achieved. The LEA, without necessarily dictating priorities, has a responsibility to ensure that the school does not develop an insularity that would undermine the service as a whole.

“ Empowerment is necessary for both upper administration and school members. Neither centralisation nor decentralisation really works. Mandates make people resist change ... What does work is interactive pressure and support, initiative-taking, and empowerment through co-ordinated action based on individual realms of activity. Change should be a negotiated process.”

Fullan (1991) p. 211

The importance of empowerment within larger organisations is paralleled by the need for staff in scattered small schools to feel themselves to be a responsible part of a wider professional community. If they become either too inward looking or too dependent on an LEA they are less likely to be able to handle various types of change.

Evidence

More than two-thirds of the LEAs in England and Wales do not expect to “approve” the plans of schools in their area, but several comments were made to the effect that approval was unnecessary if the preliminary process in formulating the plan had been carried out properly. This would often involve the inspector/adviser. As 99% of the replies from LEAs in England and Wales indicated that they have a policy for all primary schools to have plans, but only 26% indicated that the plans have to be approved, it would seem that the purpose of such policies may be to promote good practice more than to control the content of the plans.

The extent to which plans are analysed appeared to vary to a significant extent with the size of the LEA. Larger LEAs tend to have sufficient human and technical resources, and structures, to carry out extensive analysis and enable data to be integrated into its monitoring and support systems. Partial analysis is carried out by most metropolitan districts, London boroughs and medium-sized counties. Two counties, one London borough and three metropolitan districts in the West Midlands do not collect or analyse the plans.

Conclusions

As is indicated in table 7.2 in appendix B, most LEAs say that they do analyse the plans, to varying extents, and there is no evidence from the survey that they dictate the content. LMS has probably discouraged any tendency to dictate specific priorities, though if plans either contradicted or fundamentally undermined LEA policies, it is likely that this would be in the context of other disagreements related to a school seeking grant-maintained status and independence from such policies.

3.2. “LEAs may collect the plans, but they don’t use them for anything.”

This statement is intended to reflect the frustration experienced by people who see themselves as victims of bureaucratisation. Some primary headteachers have considered that requirements for their small organisations are futile and unnecessary for the operational delivery of a professional service, when unanticipated changes imposed by central government can have such a considerable effect on planning.

Literature

“The difficult decisions with which the education authority will have to grapple... hinge for the most part on the relative power of the education authority on the one hand and the schools on the other to establish an agenda for school evaluation in terms of priorities for substantive areas, criteria for effectiveness and the nature of the evidence to be collected.”

Riddell & Brown 1991 p.68

The conclusion from statement 1.3 was that curriculum and assessment issues, together with the staff development necessary to ensure thorough understanding, are at the centre of school development planning. Comments related to 3.1 touched on the importance of the LEAs role in quality assurance. Hargreaves and Hopkins also found that:

“ School development planning can enhance the identification of INSET needs, assist the LEA in the identification of local priorities, and improve the quality of the evaluation of the INSET provided.”
(p.99) and

“ Development plans have enormous potential for contributing to the LEA’s task of monitoring and evaluation”
Hargreaves & Hopkins 1991 p. 102

Evidence

It was noted in the previous section, 3.1, that LEAs vary in the extent of the analysis carried out. It is clear that the content of plans that is analysed varies between LEAs as well as the use that is made of the outcomes of such analysis.

National Curriculum planning was the chief concern of the English and Welsh LEAs that responded, with 79 percent of the English and all the Welsh LEAs reporting that they analyse schools’ plans. This is followed by 74 percent of the English and 50 percent of the Welsh LEAs reporting that they analyse INSET planning for the GEST bid. Between a quarter and a half of the LEAs also analysed planning issues that are more related to LMS such as finance and premises. In Scotland the central pressures are different, but the importance of staff development was clearly recognised.

86 to 89 percent of the LEAs refer “ often ” to the plans as part of their monitoring or inspection of primary schools. 63 percent also use them “often” as part of their support of schools, such as targeting INSET opportunities. Planning processes are also referred to in 71 - 73 percent of the LEAs in their monitoring and inspection procedures, and in 41 percent of their other support procedures.

Conclusions

Most LEAs do use the information in school development plans, both to ensure that requirements relating to the introduction of the national curriculum are being fulfilled, and to provide the data to back up bids for GEST funding. However, a minority use them for decision-making relating to internal management related to aspects of school organisation or support services other than inspection/advice.

Hypothesis 3 : Summary of finding -

The LEAs consider that they have had a significant role in school development planning processes as a result of helping schools to meet governmental expectations, to identify priorities better, and to develop appropriate strategies and tactics that lead to improvement.

Hypothesis 4 That strategic planning in primary schools has potential for further development

4.1 “Most approaches to school development planning still fail to address the culture of the school”

Literature

Several authors have pointed out the danger that planning related to superficial elements of the school will not lead to real improvement.

“School improvement efforts which ignore these deeper organisational conditions are doomed to tinkering .. strategies are needed that more directly address the culture of the organisation”

Fullan (1988) p.29

Cuban and Fullan call these first and second order changes, and Hopkins refers to them as root and branch innovations. Both are approaches are worthy of quoting here, as this is a significant issue:

“First order changes are those that improve the efficiency and effectiveness of what is currently done without disturbing the basic organisational features, without substantially altering the way that children and adults perform their roles. Second order changes seek to alter the fundamental ways in which organisations are put together, including new goals, structures, and roles (e.g. collaborative work cultures)..... The challenge of the 1990s will be to deal with more second-order changes - changes that affect the culture and structure of schools, restructuring roles and reorganising responsibilities, including those of students and parents.”

Fullan (1991) p.29

" First order changes succeeded while second-order changes were either adapted to fit what existed or sloughed off, allowing the system to remain essentially untouched. The ingredients change, the Chinese saying goes, but the soup remains the same."

Cuban (1988) p.343

"Most attempts at school improvement have tended to be "one door " strategies and have consequently failed to satisfactorily address the complexities of school culture."

Hopkins (1991) p.60

"Schools who can balance the demands of development and maintenance will find it most easy to engage in development planning ... Development planning involves two kinds of change : root innovations that generate the base on which branch innovations can be sustained. Strong roots to support the curriculum and teaching aspects of the development plan are provided by a well-developed staff development policy, or a history of collaborative work among the staff and with the school's partners."

Hopkins (1991) p.62

Recent literature has focussed on depth, whereas previously the emphasis of writing about ethos tended to be more on width. Dancy summarised it succinctly:

" Values order aims, aims inspire attitudes. Attitudes issue in, and are exemplified by, procedures. (A procedure is a pattern of actions, where an attitude is a pattern of felt thoughts). Most of the Rutter 'process variables' are procedures, and it is procedures above all which turn out to be significantly associated with outcomes."

Dancy (1980) p. 32

Survey evidence

The survey questionnaire used the term 'context' rather than 'culture', and in an explanatory note asked that three elements should be included : the internal context, including the ethos and climate; the external context, including links with parents, community, governors, local and national government; and communications. It may be that this was not sufficiently clear or was too all embracing to gain a clear view of attitudes to "culture". About a quarter of the LEAs analysed this factor, though the proportion was lower among the metropolitan districts.

The proportion was higher in Scotland, however, and as has been noted earlier the subsequent publication of "ethos indicators" will have raised awareness of this dimension still further in Scotland.

Conclusion

The issue of the school's culture or ethos is not yet being sufficiently addressed, except possibly in Scotland.

4.2. "The emphasis has shifted in recognising that the process of preparing the plan can matter more than the subsequent content."

Literature

A theme that has recurred over the last couple of decades is the relationship between content, or product, and process. It was present in the curriculum development movement of the late 1960s and 70s, and continued as the focus shifted to in-service education in the 1970s and 80s. Despite several attempts to point out the parallel that cloth needs warp and weft, the undercurrent of a partially resolved issue continues. It is perhaps at its clearest in the issue of school development planning, as has been pointed out by Hargreaves and Hopkins :

"There is a common confusion between product (school development plans as documents) and process (school development planning as activities). Officers often take the view that the latter is more important than the former. LEA documentation (e.g. guidelines) however often gives the impression that they are more concerned with product than process."

Hargreaves & Hopkins 1991.p.95

Since the publication of the outcomes of the DES project by Hargreaves and Hopkins, several of the more recent guidelines reflect a greater concern with process. There is increasing recognition of the truism that in a rapidly changing context, the one characteristic needed by any plan for it to be realistic is a degree of flexibility:

" The evolutionary perspective rests on the assumption that the environment both inside and outside organisations is often chaotic. No specific plan can last very long, because it will either become outmoded due to changing external pressures, or because disagreement over priorities arises within the organisation. Although the mission and image of the organisation's ideal future may be based on a top-level analysis of the environment and its demands, strategies for achieving the mission are frequently reviewed and refined, based on internal

scanning for opportunities and successes. Strategy is viewed as a flexible tool, rather than a semi-permanent expansion of the mission."
Louis & Miles (1990) p.193

LEAs introducing school development planning tended to start with concrete expectations to meet obligations imposed by central government rather than with a more abstract approach to the planning process.

Survey evidence

The DES project appears to have had a significant effect on developing awareness among LEAs producing support materials that process issues are significant. Nevertheless, at the time of the survey there were still 10-15 percent more LEAs that only promote and use the plans than those which also give explicit attention to process issues.

Conclusion

After the initial stages, when the focus tends to be on developing the content of the plan, an emphasis on wishing to improve the effective use of planning time tends to lead to a focus on the quality of processes such as prioritisation.

4.3 "The need for planning will increase with the changing approaches to support services"

Literature

Arrangements for Local Management of Schools and central government policies to promote grant-maintained schools and city technology colleges are leading LEAs towards radical changes in their support services. In the last couple of years several LEAs have been re-structuring their advisory services as business units, so that schools could buy in services they valued with devolved funding rather than lose them. The government then introduced the Education (Schools) Act in 1992, which mandated changed arrangements for the national and local inspectorates in England and Wales (DES 1992). As an example of the speed of change as a result of this legislation, Cambridgeshire

LEA plans to reduce 32 inspectorial posts to about 12 between 1992 and 1994, and the Curriculum Support Agency from 80 to about 20 posts.

When schools seek external support that are identified by the new inspectors in the Office for Standards in Education as being in need of improvement, they will need to prioritise their deployment of limited funds carefully. Schools at risk may well turn out to include a high proportion of those that have been unable to plan well in the past. The challenge for the LEAs will be to retain an effective capacity to help the children and staff in such schools and to monitor quality so that potential problems can be anticipated and averted.

Survey evidence

Although there is little direct evidence from the materials received from the LEAs, it is clear that there is a considerable pool of expertise and a significant culture of supporting the improvement of quality in schools. It is also clear that careful planning will be increasingly vital to ensure that the available resources of time, expertise and financial resources are targeted to achieve optimum effectiveness.

Conclusion

The increasing experience of staff and governors in primary schools in handling development planning will need to continue to be enhanced. There is particular scope for further application of the concept of “root and branch” to the process of prioritising the deployment of financial resources.

Hypothesis 4 : Summary of finding -

That strategic planning in primary schools not only has considerable potential for further development, but that recent legislative changes make it essential that further progress is made. Real development, rather than superficial changes and maintenance, is most likely to result from giving deliberate attention to planning processes such as prioritising and relating activities to a clear and consistent ethos.

3. ASPECTS OF APPROACHES TO PLANNING

Six characteristic aspects of LEAs' approaches to school development planning are indicated by an analysis of the responses to the survey and of the materials sent by the LEAs. They are not necessarily developmental stages, from an absence of planning to an implementation of clear principles. However, they may be noticeable to a varying extent in the same LEA in different years, as personnel or attitudes change.

i. Analysis

The first aspect relates to audit or analysis. Schools need to identify their relative strengths and weaknesses, and this will usually involve a process of self-evaluation. An external professional view, particularly from inspectors or advisers who are experienced in the field, can usually provide a focus or at least a different perspective. This may be enhanced by a lay view from governors or parents.

ii. Plan

The second aspect is the development of a plan. This will usually emerge from the analytical stage, and will tend to be extensive in its scope. LEAs that collect such plans express the intention that officers and inspectors / advisers should have access to them as background information.

iii. Priority and pace

The third aspect is to identify priorities within the plan, and relate a time scale and resources to achieving such priorities. Several LEAs have moved from the second to this third aspect in what they expect from schools. In some cases, priorities are fed into a data base and used to help decision-making in the deployment of support advisory teachers and other in-service resources.

iv. Synthesis of experience

The fourth aspect is a focus on experience elsewhere. The DES School Development Plans project and the Scottish school development support materials are particularly helpful as they focus the research evidence on the practical implementation of school effectiveness and improvement. There are also useful in-service resources in the field of management development that have helped headteachers and others.

v. Process of planning

The fifth aspect is an emphasis on the process of planning. An increasingly deliberate approach to process issues can help to create greater freedom within a structure of achieving specific objectives, whether these are linked with measures of performance or not. The leader's style in motivating a team in a small organisation such as a primary school is highly significant.

vi. Integration and holistic application

The sixth aspect is the management of the culture of the school. Some LEAs encourage a holistic approach that recognises the uniqueness of each situation in the context of a wider service. Policy and resources, strategy and tactics, teacher and parent all need to pull in the same direction to benefit the individual child.

Various combinations of these six aspects of approaches to planning are identifiable in LEAs, and these underpin the typology outlined in chapter 9.

4. CONCLUSIONS

Leaders need to feel in sufficient control of the pace and direction of the changes to retain their sense of personal mission.

"Complex change means facing a paradox. On the one hand, the greater the complexity, the greater the need to address implementation planning; on the other hand, the greater the thoroughness of implementation planning, the more complex the change process becomes."

Fullan 1991 p.110

Some LEAs with finance-led development plans have benefited from supporting schools in the introduction of broader approaches to development planning. There has been an increasing recognition of the importance of mission statements and auditing factors that are less easily quantifiable than financial issues. Basic guidance intended for small organisations can also contain essential good practice that is more widely applicable, for example Hopkins' summary for schools who wish to use development planning as a means of school improvement for cultural change:

" Begin by reviewing management arrangements

- small number of priorities

- root & branch innovations

Branch innovations are restricted to those that cannot be postponed

Root innovations are selected

- to support the inescapable branch innovations, and

- to contain aspects of the management arrangements identified from the review."

Hopkins (1991)

LEAs themselves are undergoing major changes at present and are having to come to terms with an acceleration of the pace of externally imposed change, whilst retaining a role to help schools cope with a parallel process. Building foundations for the future on a seemingly unstable site should be helped by a context of increased understanding about the processes of change. However, Fullan concludes that:

" Systems do not change by themselves. People change systems through their actions. It is time to change the way we change."

Fullan 1991 p.353

If LEAs' approaches to school development planning have helped schools to develop more strategic approaches to handling multiple change, this will prove to have been a valuable exercise, though it is salutary for enthusiasts in any innovation to remember that:

"The metaphor of growth and progress in western thought has seduced us into falsely assuming that change is development."

Nisbet (1980)

The literature and the evidence from the survey point to the need for four key dimensions to mesh together : the content of the plan, the planning process, the culture of the school and the evaluation process.

LEAs that are at an early stage tend to focus on audit or needs analysis, linked with the content of the plan; those at an intermediate stage, perhaps in their second annual cycle, tend to focus on improving the processes. Those at a mature stage integrate planning with evaluation, including indicators of the performance and the culture of the school as a whole. At the mature stage, planning is perceived as integral to the professional task.

If the need to accelerate an element of the plan emerges, either because of an external change from central government or the LEA, or because of an internal change by governors or headteacher, then a school at the mature stage can cope. Change can be considered for its development potential rather than for its stress potential.

Some LEAs that have been active in promoting development planning have been able to support schools at varying stages. Many of the hypotheses and statements that have been considered in this chapter have been the subject of deliberation by headteachers, classteachers, governors and LEA inspectors / advisers. Yet there is clearly variation between LEAs; between schools within LEAs and between roles within schools.

To summarise the considerations in this chapter:

- ~ School development planning is now an integral aspect of primary schools in LEAs throughout the UK;
- ~ headteachers are not expected to be solely responsible either for developing or implementing the plan;
- ~ LEAs consider that they have had a significant role in the school development planning process,
- ~ this process is helping schools to meet governmental expectations, to identify their priorities, and to develop appropriate strategies and tactics that lead to improvement;
- ~ strategic planning in primary schools not only has considerable potential for further development, but recent legislative changes make it essential that further progress is made.

Chapter 11

EFFECTIVE LEAs : CONTEXTS AND CHARACTERISTICS

1. THE CURRENT CONTEXT FOR LEAs

Four dimensions of the current context for LEAs are considered : public perceptions, political context, professional diversity and consensus, and community concerns. In an increasingly centralised national structure, there is a certain amount of ideological confusion. Local variety is valued as providing choice. Yet strategic planning beyond the level of the individual school, which is intended to improve cost-efficiency, is denigrated by some people as being bureaucratic.

1.1 Public perceptions

" Have you ever gone into a civil service building and noticed the employees? They are the living dead! ... They all acted as though they had knives stuck in their backs. They spoke in a monotone and never showed any emotion. It was chilling. I thought I had entered the twilight zone."

(Alexander 1980 p. 85)

"The (European) Community is still too much an organisation for businessmen and bureaucrats instead of citizens and communities"

(Liberal Democratic Party manifesto 1992 p.43)

Although these two contexts describe people working at very different levels in California and Brussels, the public stereotype of local government is often one of a colourless administrative machine. The term "bureaucrat", originating from the use of the term "bureau", meaning a government department, has become associated with intrusive and devious officiousness. Publications and research promoted by organisations such as the Local Government Management Board (e.g. Ranson 1992) provide vivid illustrations of vision and leadership that indicate how misleading such negative stereotypes can be.

It is argued by the present government that, if a society celebrates enterprise and individual achievement, it should reduce the cost of service superstructures, especially if they operate in a culture that is cautious about change. The problem for vulnerable parts of the system arises when the reduction of this superstructure involves removing the support infrastructure. The interdependence of elements of an organisation undergoing radical restructuring, as LEAs are currently, needs particular attention.

The relative size and location of an organisation, whether a school or an LEA, may affect its political vulnerability, though public perception and support for a small local unit is more likely to be positive than for a larger, more remote one. The same issues face citizens in different aspects of their lives. The parents that campaign to keep open a small school because of the wider benefits to the community are likely to share the concerns of their elderly neighbours urging the government to reconsider the impact of the uniform business rate on their village shop.

1.2 National political context

This human tendency of relating best to the local, known, operational level rather than to the wider, more abstract structure can be exemplified by the issue of schools opting out of the local area structure.

“ One of the biggest advantages of opting out, as ministers have claimed, is the removal of outside interference in the running of individual schools.”

Guardian 20.10.92.

The phraseology used in the pre-election manifestos in 1992 illustrates the differing positions regarding the perceived autonomy of schools and strategic planning within a wider organisation :

- i. The Conservative Party celebrated the abolition of “an expensive and bureaucratic layer of government in London and other big cities” (p.38) and claimed that

“ we need a range of schools and ... have always fought to maintain diversity ... we are giving further education colleges and sixth form colleges in England and Wales autonomy, free from council control.”

Conservative Party (1992) pp 17 - 18.

- ii. The Labour Party wanted to enable all schools
"to be free to manage their day-to-day budgets, with local education authorities given a new strategic role. Opted out schools will be freed from central government control .."
 Labour party (1992) p.18
- iii. The Liberal Democratic party aimed
"to increase further the day-to day independence of schools and colleges within a democratically accountable framework of local education authorities. ... Within this context of greater freedom for all schools, we will end the two-tier system created by Grant Maintained Schools and City Technology Colleges by returning them to the strategic planning framework of the local elected education authority."
 Liberal Democrat party (1992) p.31

1.3. Local political context

The 1974 reorganisation of local government led to a significant increase in the politicisation of the local education agenda. The polarisation of political opinion along party lines has resulted in closer ties with national party policies, which appear to have affected LEAs, whether they support government policies or not.

Where local government was in support of the majority party in national government, mandated change has been reinforced by pressure on members from national party headquarters. Leading elected members of local committees have been disciplined if local conditions lead them to dissent from nationally agreed policy. Conversely, on occasions some have been rewarded personally for enthusiastic support.

Where local government supported the opposition parties, a variety of sanctions have increasingly been used by central government. At the structural level, the dismantling of ILEA into small boroughs is to be followed by the dismantling of the Welsh LEAs. Local authorities have been denigrated by ministers in situations where there was no opportunity to respond. Examples of this include comments about Birmingham at the 1992 Conservative Party Conference and a defamatory comment about its recently appointed CEO at the 1993 conference.

More directly, the criteria used as the basis for the Standard Spending Assessment of LEAs have been criticised for failing to differentiate sufficiently between the needs of contrasting areas.

As political power has become more centralised and explicit there has been a shift in the role of most Chief Officers, who have needed to increase the time devoted to the more politically-orientated concerns of members and corporate planning, and to reduce their direct personal involvement with schools. For example, they have had to cope with the practical implications of ideological tensions such as those between contract and per capita funding, or between market forces and strategic planning.

1.4 Civil servants and local government officers

The gap between the education departments of central and local government, already a matter for concern by the mid-1980s (e.g. Rowntree 1986) has widened further in England and Wales under the present government as a result of the 1988, 1992 and 1993 Acts. These have led to significant changes to the structures and functions carried out by each level, and to the cultures of civil servants or officers working in each level of government.

The relationship between DFE civil servants and HM inspectorate altered at the same time as the 1992 Act changed that between local government officers and inspectors/advisers. Until recently, people holding these four roles often worked closely together. Some felt this helped coherence, though some others in schools considered this collaboration to be potentially oppressive.

The main spheres of influence for politicians, civil servants and officers are clearly the determination of policy and targeting resources to implement decisions. The current structural changes at central and local levels of government are taking place in a context of economic recession and rising unemployment. This emphasises the paradox facing the government as the need for an effective public service infrastructure increases while increasing proportions of the community become vulnerable in a climate of competitive autonomy.

Although much work has been achieved on aspects of schools that lead to effective learning and school improvement, much less has been written until relatively recently about what features typify effective support infrastructures. Central government is ensuring that the reduction of such infrastructures in most areas is accelerated by proposing an increase in the proportion of money delegated to schools to be spent directly on schools from 85% of the total to 90% by 1994. The research evidence of the likely impact of this reduction on schools appears to be sparse.

1.5 Professional consensus

The political community is accountable to the electorate for the fabric of policy and resources within which society can develop its economic base and its culture. Even if the socio-economic context is unstable, whatever the political context, the professional educators have an obligation to optimise the quality and effectiveness of teaching and learning. The lay community has a corresponding moral obligation to provide the resources so that the next generation can develop on firm foundations.

The timescale for achieving professional goals tends to be longer than the political one. The infrastructure to support schools has to be accountable in differing ways to the political community for its interpretation of policy; to the professional community of educators for its strategies; and to the lay community of parents, carers and children for its tactics.

There appears to be a greater consensus throughout the profession about the desirability of networking and the need for support structures than there has been on some pedagogical and organisational issues. Legislation led to a widening of educational inequalities and social segregation in spite of the intention of the 1988 Act to introduce diversity, differentiation and competition. The slowness of the shift in attitude among professionals towards grant-maintained status for schools may be one indicator of this. Initially, in the face of considerable financial incentives, the majority of schools that considered carefully the potential advantages and disadvantages of becoming grant-maintained did not respond in the way that the government anticipated. The reasons such schools gave for staying with their LEAs often included the support network of officers, inspectors, advisers, advisory teachers and centre leaders. The reasons for leaving were initially to exploit financial opportunities (caricatured as “Judas money” by some of its opponents) or more recently to avoid becoming part of a group of schools that were perceived as being left behind after this initiative.

Schools also valued co-operation with their peers, and did not want to find themselves ostracised. Some Independent schools, that had been autonomous for many decades, found that the experience of working with other schools in preparation for the introduction of GCSE had helped staff development in ways which had not been previously experienced. A growing culture of co-operation rather than competition was valued. In some areas primary schools formed clusters for in-service activities with or without the support of their linked secondary schools. Such collaboration contrasted with the political

agenda of encouraging efficiency through competition. Professional interaction across schools, that had been promoted in many areas by the Teachers' Centre movement of the 1970s, was recognised as a significant way of overcoming the isolation and parochialism of some schools.

Increasingly, also, research and development studies indicated the effect that support structures can have on adding value to the deployment of resources. In some cases such structures involve the local administration and higher education, as exemplified by Fullan and his colleagues in Ontario. In others, independent consultants have shown the efficacy of the way in which long-term support can lead to school improvement, as is the case in the areas in the US involved in the Comer project. Fullan emphasises that although change can be initiated from several points in the system, it is most likely to wither unless there is a support structure in place that has long rather than short term strategies. (Fullan 1992)

1.6 Community concern and local democracy

Governors are becoming increasingly important as the resource base of local authorities is reduced, together with the role of locally elected members and professional officers. While they may not be able to promote links within the education service, they may be in a better position to encourage links with other aspects of the community. They may also be able to provide some of the continuity that officers have provided in schools where there is regular staff turnover, and where parents with small families may be associated with a school for a relatively short period of time.

Parents who exercise their rights to choose a school other than that which serves their neighbourhood ideally should work for high quality schools for all children, rather than concentrating only on their own. Being realistic, this is unlikely to happen unless they become governors or councillors. Consequently, parental choice may lead to some schools being impoverished of enthusiastic parents and motivated children. This may even have more impact in affecting public perceptions of the school than selecting pupils by ability.

Since the 1986 Act that made parents' meetings obligatory, there has been little improvement in the attendance of parents at such meetings - only one in five achieve the quorum of 20% of parents of pupils that is needed before resolutions requiring action by governors can be passed. (Hinds 1992)

The lack of a wider accountability structure for grant maintained schools has meant that parents have been denied the right of appeal beyond the school to an organisation equivalent to an LEA. To overcome this problem the powers of the Local Government Ombudsman have been extended to cover grant maintained and voluntary aided schools.

1.7 Conclusion

It is inevitable that the functions of local government should be reduced as schools are encouraged to become more autonomous. The qualitative evidence of variation in cost-effectiveness between LEAs may be insufficient to justify the radical measures in the 1992 and 1993 Acts. The issue of performance indicators is considered in the next section.

2. INDICATORS OF SYSTEMIC PERFORMANCE

Comparing educational systems at local, regional and national levels should involve qualitative and quantitative measures. Using such measures as indicators of performance should enable judgements to be made.

2.1 Developments in identifying indicators

During the late 1960s and early 1970s social scientists were increasingly seeking objective, valid and reliable social indicators for research, planning and administrative purposes. Education was part of this wider scene, and interest in the need for systems to change was being linked with the need for a more rational approach.

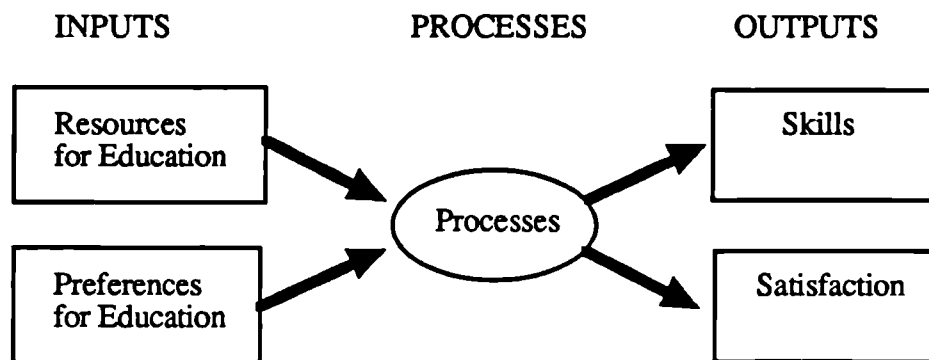
“ One of the necessary steps towards identifying the right questions ... is to develop better instruments for assessing the performance of educational systems and their various parts ... what sorts of “indicator” (does) an educational system need to give itself an annual check - up?

Without a battery of indicators of an appropriate sort, educational planners and policy-makers have little to go on except hunch and prejudice."

Coombs 1968 pp 33 - 34

Johnstone's 1976 UNESCO publication suggested ways of classifying such indicators as a basis for developing actual indices or researching their effectiveness in particular situations.

His model is based on principles of systems analysis and he applied it to educational systems as follows:



A model for the selection of indicators of educational system performance
(Johnstone 1976 p.11)

KEY: (summary of Johnstone pp 11 - 14)

Preferences for Education : public and private sectors; phase emphasis.

e.g. planners' preferences as revealed in development plans
(Drewnowski & Subramanean 1970)

Resources for Education : manpower and finance

e.g. percentage of disposable budget devoted to education

Processes : affected by, but do not directly affect, input variables

Skills : relative number of students who achieve the aims of a course

Satisfaction : i. of students in the effectiveness of the system in
enabling them to develop skills and abilities
ii. of employers with the skills developed by students.

The potential benefit of a simple system, such as that proposed by Johnstone, is that it can provide a framework that is easily usable by planners, evaluators or researchers. Although the drawbacks of such simplicity include potential inappropriateness for some applications, several current approaches are recognisably similar.

Johnstone deplored the lack of literature about indicators measuring the inter-dependence of national policies relating to economic, educational, political and social sub-systems:

"If a coherent theory of societal development or a theory of educational systems development is not forthcoming, the inter-relationships between various types of indicators and the unknown effects of one societal sub-system on another could hinder social progress and negate the potential usefulness of many of the multi-lateral aid programmes."

Johnstone 1976 p.16

2.2 Performance indicators at LEA level

Consideration was given in chapter 4 to the difference between the "logistic" or rational-managerial approach to performance indicators and the "deliberative" or problem-solving approach associated with Deming. Although most areas of local government display traditional features, there is little evidence of active use of indicators across departments in most authorities.

Just as planning should link across departments in schools, so in LEAs most Directors of Education operate as part of a corporate planning team with other chief officers under the chairmanship of a Chief Executive. Corporate planning in the medium and longer term has normally involved agreeing priorities, but departmental performance indicators have tended to be related to factors within individual departments. Corporate financial targets become translated into departmental service goals.

Holt's comments about schools, mentioned in chapter 4, also apply increasingly to the management of LEAs as organisations. The extent and the pace of change required of LEAs and schools has accelerated in recent years. Implementing a variety of policies at the same time often prevents the appropriateness of describing links between cause and effect or between inputs and outputs. The realities of such pressures, together with issues associated with managing a contracting service and the decreasing power of elected members, is leading to changes towards a more participative management style. As has already been mentioned, Coopers and Lybrand (1988) and others have stressed the importance of differentiating between performance indicators and measures. Some Directors of Education are also causing information about performance to be subjected to critical analysis in a more systematic way, reflecting the dictum cited by Deming "In God we trust - all others must use data!"

2.3 International and national indicators

Comparing the performance of national education systems is one of the factors that encourages national governments and inter-governmental agencies to measure achievement. The OECD / CERI project "International Indicators and Evaluation of Educational Systems" has published the findings of its second stage (OECD / CERI 1992). This provides a framework to organise indicators, suggests possible interactions and linkages, and helps users interpret the information provided. Nuttall (1989) has pointed out that in the USA the approach has been more policy-related, research-based and technically informed than in the UK. The audience for the findings of such work has been politicians and the nation, whereas in the UK efforts have been more "pluralistic and locally driven" for a local audience. (Riley 1992 p7)

The CERI project on international indicators and the evaluation of educational systems is now in its third phase, which will last from 1991 to 1996. Indicators are structured into three domains: demographic and background variables; educational programme and processes; and educational outcomes. The parallels with Johnstone's work for UNESCO in 1976 quoted above are clear. An accompanying publication contains a useful chapter by Scheerens (1992) that links research on school effectiveness with process indicators.

The Audit Unit of the Scottish Office are among the active participants in this project, and reference was made to their work in chapter 6.4. Their 1991 publication "The Role of School Development Plans in Managing School Effectiveness" (1991) presented and explained the role of school development plans in managing school effectiveness, and showed how performance indicators could contribute to quality assurance and self-evaluation in schools. Subsequently the SOED has published four ring-binders of qualitative performance indicators covering learning, teaching and management, including ethos and links with parents, together with staff development materials designed to assist their introduction in schools (1992, 1993).

Measurement of financial health tends to focus on indicators that are quantifiable. For example, the Audit Commission was required by the Local Government Act (1992) to

"..give such directions as it thinks fit for requiring relevant bodies to publish such information relating to their activities in any financial year as will, in the Commission's opinion, facilitate the making of appropriate comparisons (by reference to the criteria of cost, economy, efficiency and effectiveness) between :

(a) the standards of performance achieved by different relevant bodies in that financial year; and

(b) the standards of performance achieved by such bodies in different financial years."

(Audit Commission 1992a p.2)

The Commission has produced ten performance indicators for the education service. Professional concerns were expressed during the required consultation period that such quantifiable measures can be misleading when they are presented as simple league tables. Qualitative refinement includes developing "families" of comparable authorities, so that comparisons can be more valuable. As was indicated in chapter 4, at school level, identifying the improvement of quality involves both subjective evidence concerning factors such as morale or pride and more objective indicators relating to added value. The use of performance indicators by LEAs is most effective if schools are enabled to keep them in perspective, or as Lakin (1990) expressed it:

"Performance indicators are tools to assist planning and evaluation in schools and are not ends in themselves."

3. CHARACTERISTICS OF EFFECTIVE LEAs

The literature on school effectiveness was summarised in chapter 4 and some initial hypotheses about the role of LEAs in supporting strategic planning were considered in chapter 10.

The next stages involve questioning whether it is feasible to link the concept of effective schools with work on performance indicators that relate to educational systems, and to consider whether this is applicable to the effectiveness of the infrastructure that has been predominantly the responsibility of the LEA.

If schools can take action to improve, as a result of knowing which characteristics combine in more effective schools, perhaps a comparable approach could be taken by LEAs or by other support services. The significant difference between schools and LEAs is the government's policy towards reducing the role of the LEAs. Nevertheless, if characteristics of

effectiveness can be identified, it may be that the support structures needed in the new context can focus on some of these characteristics rather than others.

Organisational characteristics in various sectors of the economy differ as a result of historical, geographical, economic, cultural and political factors. In education, the rural primary school, the suburban comprehensive, and the special unit tackling special needs in the inner-city exemplify how needs and provision can vary widely within the same service.

Similarly, the expectations of staff in a small consensus-orientated LEA with little movement of staff may contrast markedly with those in a large confrontation-orientated LEA where staff see their job in the context of gaining specific experience on a personal career ladder.

In these two cases, several variables have been combined to illustrate stereotypes of situation and attitude. In commenting on such variations the touchstone should be the extent to which the LEA is enabling the schools to help children achieve their potential. Different contexts may require contrasting approaches. However, some aspects in a national system need to be available to all children as a baseline. The 1988 and 1992 Acts aimed to achieve national bases for the curriculum, assessment and inspection elements.

A synthesis of school-related indicators, school effectiveness criteria and Ofsted inspection criteria might be used as a basis for identifying characteristics of an effective LEA. The following list of characteristics is presented in the form of questions, and is developed from the work of Purkey & Smith (1983), Fullan (1985,1991), CIPFA (1988), Gray & Jesson (1990), Hargreaves & Hopkins (1991), and Ofsted (1992 & 1993a).

An LEA's answers to such questions would range along a continuum, and an overall summary would produce a criterion-referenced profile of that LEA. Such a profile could be related to a norm-referenced factors if it was necessary to gauge how far the individual LEA was typical of its type.

The characteristics are grouped under four headings:

1. Purpose of the LEA
2. Planning, performance and achievement of schools
3. Partnership
4. Leadership

1. Purpose of the LEA

1.1 Policy

Does the LEA have a guiding value system and a systematic approach to defining its aims, for example a mission statement backed up by action plans, at least for the medium and short terms?

1.2 Financial Resources

- i. Does it prioritise the deployment of financial resources to achieve its aims?
- ii. Does it link the monitoring of achieving aims with auditing income and expenditure?

1.3 Personnel Resources

- i. Does it deploy its personnel effectively to achieve its aims?
- ii. Does it handle change sensitively?
(appointments; induction; redundancy)

2. Planning, performance and achievement of schools

2.1 Does the LEA have a policy that all schools should be involved in a process of development planning?

2.2 Is there an expectation that the inspectorate should make judgements about the quality and appropriateness of the school's aims?

2.3 Does the inspectorate monitor how successfully schools achieve their aims? Specifically in seven fields :

i. Curriculum

Introducing the national curriculum; generating a climate of local curriculum development; improving effective learning; considering the range of the curriculum; reviewing the effects of policy on the quality and standards of children's work; reviewing equality of opportunity and special needs.

ii. Pastoral

Arranging for pupil support and guidance; reviewing the level of communication between teachers and pupils; overcoming physical disabilities.

iii. Assessment

Improving record keeping and time-effective ways of monitoring progress; using value-added performance indicators in reporting results.

iv. Financial Resources

Introducing LMS; generating a climate of self-evaluation and responsibility.

v. Staff development

Introducing strategic planning; generating a climate of professional growth; improving the quality of teaching and the structure of lessons; using GEST grants and advisory teachers effectively.

vi. Organisation and Management

Developing skills at each level; promoting organisational development; deploying staff effectively; involving parents; communicating with the community; liaising with other schools and industry; using other services e.g. library, educational psychologists, welfare helpers.

vii. Ethos

Promoting pupils' social, cultural, spiritual and moral development; Developing positive attitudes to people, property, work school & community, the quality of the school as a community, altruistic and caring behaviour in a positive climate, low truancy.

2.4 Does the LEA help schools to choose which changes to make and which strategies to implement *"in the interest of school improvement but without damage to existing good practice"*?

3. Partnership

- 3.1 Does the LEA communicate well at national level with e.g. DFE, other government agencies and departments, Audit Commission, SCAA, NFER?**
- 3.2 Does the LEA participate actively in networks at national, regional and local levels that promote growth and development of quality education?**
- 3.3 Is the LEA proactive in communicating with other departments of local government, particularly aspects of corporate planning?**
- 3.4 Does the LEA work closely with the media to inform and educate the public? Is appropriate information readily accessible to parents and taxpayers?**
- 3.5 Does the LEA actively encourage councillors and governors to develop appropriate skills and to be well informed about current educational issues?**

4. Leadership

- 4.1 Is the leadership of the LEA, both among officers, inspectors and members, centrally concerned about improving the quality of teaching and learning in schools?**
- 4.2 How far do heads, governors and staff in the schools recognise this and support the LEA?**
- 4.3 Does the LEA have high expectations of local schools and encourage them to celebrate success?**
- 4.4 How far does the LEA promote self-evaluation, external evaluation and accountability?**
- 4.5 Are there clear statements of policy and / or a consistent approach to issues among officers and inspectors?**
- 4.6 Is there generally enthusiasm and a positive attitude to work at all levels in the organisation?**

The emphasis in these four types of characteristics is on the quality displayed in various processes. Quantifiable factors relating to local government and the potential for raising taxes have been collated and synthesised by central government in this country to some extent for over 900 years. The development of the population census every ten years and annual tax returns are supplemented by national statistics about educational provision. Most of these are required to be collected for central government by local government from schools and other local units. Advances in data handling have accelerated processing and correlating data at local and national levels.

Yet the arguments about the value-added dimension have been slow to percolate. Even with the handling of examination results, the professional emphasis on this dimension has been significant for many years, for example when presenting such results to Education Committees. Yet at national level, as has already been mentioned, it seems that the value-added concept has not been politically acceptable until very recently.

So, if qualitative and quantitative measures are used together to indicate effectiveness in a school, it may be feasible to produce a synthesis of a considerable variety of perceptions. The resultant cameo should indicate to a general reader whether a school is succeeding or failing. Ofsted has identified seven signs of a failing school :

Signs that a school is failing (Ofsted)

1. Low standards and achievement of majority or particular groups of pupils
2. Disruptive behaviour, truancy, bullying & racism
3. High staff turnover and high proportion of unsatisfactory teaching
4. Ineffectiveness and insensitivity of head &/or senior management
5. Loss of confidence in the head by staff, governors or parents
6. Friction between staff and senior management
7. Level of or management of resources seriously impeding educational provision or progress

Inevitably, such a cameo will include many generalisations, and no doubt exceptions will be found to each of the seven indications in a specific school where individuals will have minority evidence to disagree with the inspectors' judgement. However, it is necessary to focus on specific weaknesses so that subsequent action planning can be targeted.

If it is valid to summarise an individual school in this way, it may be feasible to identify comparable signs in an LEA. The following list is intended to mirror the schools' list closely to emphasise the potential mesh between development planning at LEA and school levels.

Parallel signs that an LEA may be failing

1. Low standards and achievement of majority or particular groups of schools, after allowing for socio-economic variations
- 2.1 High proportion of schools opting for grant-maintained status
- 2.2 Significant variation between pupil-teacher ratio or formula funding in different phases, if this causes inequity of provision
- 3.1 High staff turnover
- 3.2 Significant levels of absence for sickness or stress
- 3.3 High proportion of unsatisfactory HMI / Ofsted reports
- 3.4 High proportion of mediocre appraisal reports
4. Ineffectiveness and insensitivity of Director, Chief Inspector and/or senior officers
5. Loss of confidence in the Director by officers, councillors or heads
6. Friction between heads and officers
7. Level of, or management of, resources seriously impeding provision by schools or support services.

It might even be feasible to extend the simile to the national level:

Parallel signs that a national system may be failing

1. Low standards and achievement of majority or particular areas of the country, after allowing for socio-economic variations
- 2.1 Disruptive union activity
- 2.2 Local authorities critical or unsupportive of national policy
3. High levels of loss of staff to other employment or early retirement
4. Ineffectiveness and insensitivity of Ministers and senior Civil Servants
5. Loss of confidence in the Secretary of State by MPs, Civil Servants, Councillors, Governors, officers or heads
6. Friction between central and local government
7. Level of, or management of, resources seriously impeding provision by local authorities.

Such parallels are intended to illuminate the issues surrounding the application of effectiveness characteristics to LEAs. Although the characteristics developed by CIPFA and by the OECD for international statistical comparisons are predominantly quantitative and the Ofsted characteristics mentioned above emphasise the qualitative aspect, they provide a convenient methodological sandwich when considering the performance of LEAs.

4 . RETAINING EFFECTIVE CHARACTERISTICS IN FUTURE SUPPORT SERVICES

The previous section grouped questions relating to LEAs' effectiveness together under the four headings of : purpose; planning, performance and achievement of schools; partnership; and leadership. Conversely, signs of a failing LEA were suggested.

The appropriateness of such hypotheses need to be tested in an empirical context if they are to be valued by practitioners. This section outlines the context facing local support services and addresses demographic, economic, and socio-political variations.

Local factors need to be juxtaposed with the changing national context to identify characteristics that should be developed in future support services. The starting point is that some aspects of LEAs should be preserved if they have a significant impact on improving the effectiveness of schools. Others that do not should end with the current changes.

4.1 Demographic variations

Relating the number of primary schools to the number of children of primary school age indicates the average size of primary schools in a particular LEA, but does not indicate by itself the reason for that size. A large number of small schools may indicate a predominantly scattered rural population, but it may also indicate an LEA that is failing to close uneconomic schools in predominantly urban or suburban areas. Also, it does not indicate whether the area is likely to see a significant increase or decrease in the relevant age group over the next few years. There are likely to be several such factors operating

at the same time in various parts of the LEA owing to the present size of many LEAs.

The variation between the age ratios of different LEAs is accessible via census returns, as was illustrated in chapter 6.5. Another example is a southern rural LEA with a high proportion of senior citizens that has fewer primary schools in relation to its total population than a growing suburban high technology area.

The evidence from the survey of LEAs has been checked to see whether size is a relevant variable, and the results are mixed. For example some of the smallest LEAs show similar characteristics, but there are others that are strikingly different. Similar contrasts are evident among the largest LEAs. Consequently other factors are considered at least as, if not more important than size.

4.2 Economic variations

The per capita spending on the education of children varies significantly across the country. This results from several factors, including the Standard Spending Assessment (SSA) determined by national government, and the inter-phase ratio and the holdback on central support services determined by local government. The tax base of different parts of the country in consecutive years reflects a variety of economic factors and compensatory adjustments. The disparity is most acute at a time of recession for areas of growing population, as the SSA is based on statistical and economic forecasts that can quickly become obsolescent. Consequently changes in support services that are realistic in some areas may be inappropriate in others, as a rapidly declining local tax base or other local crises undermine anticipated local resources.

4.3 Socio - political variations

The degree of support for the locally elected Education Committee on political lines, and the proximity of local elections, may influence the risk that members consider can be taken on controversial issues such as reducing certain services. While officers are expected by the nature of their

employment to be politically neutral, their role and professional inclination is to take the longer term view for the service, which may conflict with the shorter term timescale involved if an issue is considered a political imperative by key members.

If the leading officers manage their team in ways that do not reinforce the members' policies, there is likely to be conflict and mistrust between the professionals and the elected representatives. For example, in recent years some LEAs have failed to implement the government's desire to reduce the advisory function and stress the monitoring and evaluation side. Where officers in an LEA approached improving quality by stressing support and staff development, and members stressed confrontation and disciplinary procedures, there was unlikely to be agreement over the credibility of performance measures. Similar attitudes among headteachers relate to the question of how far to compete or collaborate over admission policies.

The way in which the LEA is structured may also have a significant effect on how flexible it is in handling radical change. The tightly hierarchical small authorities, occasionally directed by powerful individualists, that existed in some areas before the 1974 reorganisation of local government, tended to be succeeded by larger organisations managed by more urbane chief officers. Flatter pyramidal management structures and role clarification enabled many LEAs to streamline their services. The average age of senior officers reduced and the gender balance improved to some extent. Over the last twenty years the selection of senior officers has reflected a variety of values in different areas. Stability and a low profile in some are in marked contrast to the fluctuations and highly public profiles of others. Relationships between senior officers and headteachers in some areas are close, while in others there is mistrust and resentment.

4.4 Towards meeting needs in the future

Although much of the situation nationally is in a state of flux, there is a variety of indicators of the direction in which support services are likely to go if present policies continue. However large or small local government is permitted to be, it is clear that some of its functions have been and will be diverted under legislation either to central government or to schools. Between these, some services will be able to continue only if they become self-financing and succeed in marketing their services. The main problem facing such services is the pace at which they are expected to develop a radically

different financial basis and the groundrules that prevent them from operating competitively in an open market.

The problems emanate partly from central government and partly from LEAs wishing to protect the rump of their services. For example, one LEA setting up a curriculum advisory agency was supportive to its employees in the early stages of the changeover, but froze key posts when individuals moved on, as though these were ordinary officer posts. The inability to make appointments to key income-generating posts caused imbalance in the reorganised structure which undermined the credibility of the agency among client schools.

The opportunities that are available in this new climate are potentially considerable. The development of Ofsted at national level attracted over 4,000 applicants, including many inspectors and advisers from HMI and LEAs. No comparable new organisation has been created at operational level for advising or developing staff in the fields such as management, curriculum and assessment. There is no central organisation to promote teacher development other than through award-bearing courses in higher education. Yet some of the characteristics of LEAs indicated in the previous section that had most impact on school improvement have been in this dimension.

5 . CONCLUSIONS

The effectiveness of an LEA may be measured against a variety of criteria from the realms of education, finance or local government. An LEA's relative success or failure should be judged against its purpose, functions and resources. If these change, it is reasonable that public and professional expectations should modify appropriately. If alternative provision is available that can replace or improve the services provided by the LEA for every category of those that need them, then the transitional processes will seem relatively reasonable.

However, education is but one of the community services being affected by the current changes, and the concern is that some groups are beginning to experience multiple disadvantage as a result of similar changes occurring in several services. If there is a coherence across policies nationally, there tends to be much less coherence at the strategic and operational levels. The next chapter considers the need for improving the links between community services.

Chapter 12

TOWARDS A NEW PRAXIS IN COMMUNITY SERVICES

1. General overview

The last half century has seen several cycles of attitudes towards public services as different shades of political opinion have controlled the power to legislate. The functions and structures of services have altered with increasing speed over the last five years.

Since the reorganisation of local government in 1974 following the Maude Commission, Chief Officers of the major services are normally led by a Chief Executive whose prime responsibility is to promote co-ordinated corporate planning. A simplistic description, in the language of market forces of the late 1980s, might be that the individual "customer" or citizen pays taxes in return for public services; so the political aim is to strengthen the link between the services needed by the customer and the taxes paid. In this context, the challenge is to reduce the potential side-effect of decreasing the services available to the vulnerable, to victims, to the infirm, the disadvantaged and the impoverished at a time when both central and local government is becoming more pluralist, decentralised and entrepreneurial.

The present government is committed to reducing the costs of both local and central government. Under the "Next Steps" programme, over a hundred government agencies are in the process of becoming semi-independent executive bodies with their own mission statements and performance goals...

"Taken together, these reforms are the most comprehensive overhaul of British administration since the Northcote-Trevelyan reforms of the 1850s... from these reforms is slowly emerging a new philosophy of the state for the next century." Times editorial 26.10.93

At the local operational level the main services have both distinct and overlapping functions, so at a time of contraction it is even more important for corporate planning at policy level to be congruent. The distinctive contribution of education, social, health and police services, for example, need to be underpinned by a common approach to care in the community. The Citizen's

Charter provides a skeleton which local services can build on to communicate to “customers”.

The advantages of such links are evident in small ways in many authorities. The integration of pre-school services in Manchester and Southwark, for example, has become possible through joint planning between education and social services. In Strathclyde :

“there is an attempt to co-ordinate strategy, and that has paid off in more effective liaison between teachers and social workers ... the notion of home-school partnership is being fostered with a range of initiatives that draw the community into the schools ... areas of most deprivation have least to gain by the abolition of a strategic authority. ”
Hackett (1992)

The National Children’s Bureau has also been active in encouraging community services to collaborate more closely. Yet it is clear that in spite of the efforts of many Chief Executives and Senior Officers, such collaboration is not yet widespread. In penetrating the wide variety of reasons at policy, strategy and operational levels, it may help to focus on three elements that all the services have in common: accountability, protection, and care.

2. Three common elements

i. Accountability

The term “Authority” is increasingly being replaced by “Service” in support, development and emergency areas. Some Education Authorities now include in their communications the term Education Services, and similarly some Police Forces are increasingly using the term Police Services. The shift in terminology carries significant implications for accountability.

The term “public service” used to be applied more to both voluntary elected members and to professional staff, when it was seen by some as being equivalent to serving in the armed forces. Professional staff in local government, in the emergency services and in the military services are called “officers”. Their holidays are called “leave” and there have been parallels in the hierarchies of their organisational structures.

The accountability that goes with authority in public services has been to the elected representatives of the community. The decline in the size of these

services is reflected in a decline in the responsibility carried by such elected representatives. In some cases, accountability at a more strategic level is being promoted, as with the development of the role of school governor. In others, the monitoring of standards is being widened to include lay members in the inspectorate, for example in education, social services and the police. This is an area with much potential for exchanging management experience across services.

At central government level the concept of accountability at present appears to focus on the delivery of policy to the minister rather than necessarily improving quality of service for the citizen, though the Citizen's Charter initiative is intended to stress the latter dimension. To take an example from another public service..

"All health authority members are the political appointees of the minister. Medics and consumer representation are now in a minority. The majority of non-executive members no longer have health links but are drawn from industry, business and accountancy.... It is not just medics who are unhappy with gagging clauses ..that ensure professional staff do not expose the faults in the new system. Managers too have complained of the "climate of fear" that has been imposed from the top. This year they face a severe freeze on their budgets ..."

Guardian editorial 26.10.93

ii. Protection

A major function of the public services has been to protect the vulnerable. Although this is most self-evident when the emergency services of fire and rescue, police, ambulance and coastguard are handling spectacular crises, the other services share the priority. The disadvantaged child, the victim of harassment or violence, and the appellant against an intrusive planning decision are individual citizens who need a variety of services.

Some can afford to pay for such protection, and arguably the insurance and security industries have grown by stimulating people's fear of needing protection for their persons or their property. Others, such as barristers and solicitors, contribute to protecting the vulnerable by resolving certain types of issue. It seems reasonable that in a civilised society, all citizens should have basic protection of human rights under the law. Some would define "basic" less generously than others and consider that most protection should be paid for. The current changes seem to be reducing the basic level by ensuring that a higher proportion of the actual costs are paid for by the beneficiary.

iii. Care

If service to others is essentially about care, it seems logical that the public services should be centrally concerned about caring. This aspect has been more explicit in the past in some areas, such as health care, than in others. Even where policies have been formally agreed concerning the relationship between service provider and customer or client, the ethos of caring has not necessarily permeated the internal functioning of the organisation. Bullish statements about minimising public spending at central government level have led to budgetary cuts and the need for radical changes, which require hard decisions about priorities. While professional officers are expected to implement such decisions sensitively, the stresses facing the managers of “carers” are often significant.

3. Comparing trends in two services

Part of the difficulty in developing closer collaboration between services is the lack of a consistent approach to valuing services at national level. One way of illustrating this is to outline some of the different trends in inspecting two of the services, education and the police.

- i. Monitoring activity in the police has tended to emphasise auditing the quantitative elements of internal efficiency, whereas in education the emphasis has been on the qualitative side of effectiveness.
- ii. The police are increasing their efforts at the interface with customers to regain what is perceived as a loss of public confidence.

“It is felt that the way the police measure effectiveness is not necessarily the way the public measure it”

ACPO 1990 para 6

The focus in education, with its schools being an institutional midpoint between government and the family, is to focus on effective delivery at the school level, and expect the schools to deal with all but the most extreme customer issues.

- iii. The police do not at present have objective standards for service provision. Similarly, until the introduction of criterion-referenced assessment linked with a national curriculum, education services have had a range of standards across the country.

iv. The culture of the police has tended to be “blame orientated” rather than helping and enabling. The intended culture of most schools is helping and enabling in a context of firmness and fairness, and a blame orientation tends to be perceived as a sign of failure rather than success.

v. However, some schools perceive the culture of some inspectorates as being orientated towards failure rather than celebrating success and achievement. When local inspectors were also advisers their responsibilities usually included direct action after offering advice. The orientation was towards professional development. Recently the role has increasingly become that of inspecting, advising on an action plan, and monitoring the progress of that plan. The orientation was on school improvement. Under the new arrangements the primacy of inspection will leave the governors with the responsibility to monitor the quality of the subsequent action. It seems that the orientation towards blame that the police are rejecting may be being incorporated into the new arrangements for education.

vi. The police force has had considerable authority and have taken accountability seriously to ensure that abuses of such authority are minimised. They are working on developing support structures for individual officers. In contrast, schools have had considerable support available from a range of advisory teachers with expertise in curriculum, pastoral and phase specialities, as well as educational psychologists, welfare and youth workers. Most schools have not had the type of goals or accountability measures that appraisals involve in the way that officers and many of those in industrial and commercial fields have.

vii. Internal monitoring in the police has focussed on telling unit commanders what is wrong rather than helping them to put it right. Inspection in education seems to be moving towards that position at the same time as the police are moving away from it. The new style inspectorate will be telling headteachers and governors what is wrong, and will no longer be involved with helping them to put it right.

These seven points indicate that, in one area at least, two public services seem to be moving in different ways to compensate for weaknesses each perceives in its approach. Yet the differences may be greater between the professionals and the departments of state than that between the professionals within the two services.

4. Towards some aims for education as one of the community services

In seeking common ground, both between the services and between professionals and central government, it may help to identify and consider five aims in the period following the 1993 Act :

- i. to retain a democratic basis of publicly elected representatives accountable to the voting community that they serve;
- ii. to retain access for schools to professionals who can help the educational process by providing support services that would not otherwise be available;
- iii. to encourage creative and productive co-operation between educational establishments;
- iv. to facilitate professional development and mobility throughout the careers of a significant majority of those involved in educating others;
- v. to maximise the cost effectiveness of resources invested in the growth and development of future citizens.

Each of these will now be considered:

- i. to retain a democratic basis of publicly elected representatives accountable to the voting community that they serve;

The previous chapter expressed concern about two aspects of the democratic representation of the local community. First, the party politicisation of local authorities after the 1974 reorganisation, and second, the transfer of strategic influence from elected councillors to governors, particularly since 1988. One concern is that party politicisation of the governors may be seen by the political parties as the logical next step, with the increasing centralising influence that could then be brought directly to bear on schools.

There are many philosophical, practical, political and resource issues involved in determining which elements of the community should be able to be

represented in formulating strategy. The interests perceived by those eligible to vote in the community may differ from those such as parents, teachers and children who have most to gain or lose at the operational end. Balancing short and long term benefits in such situations requires experience and judgement between competing priorities. The benefits of devolving more strategic decision-making to the local community can only be realised if the resources are available to implement such decisions. Cost-effective decisions about capital projects are best taken within a structure that relates to planning over an area that is larger than the local community. Governors will need to relate to an umbrella organisation beyond their school, and at present it seems likely that this will either be a reduced form of an LEA, a national Funding Agency, or an LEA linked with a Funding Agency. The proposals of the National Commission will be raised in chapter 15. In each case, it seems that the capacity of the councillors to determine strategy will be reduced. Democratic approaches to governor selection will consequently be increasingly important, particularly in areas where extremes of apathy or radical politics are rampant. Cynics might consider that schools will get the governors they deserve, but if children in such schools suffer, then the change represents a deterioration.

- ii. to retain access for schools to professionals who can help the educational process by providing support services that would not otherwise be available;**

While inspection is politically marketable as being linked with assessing standards, there has been a reversal of policy relating to the need for advisory teachers. Small organisations, such as primary schools or secondary departments, can be significantly helped by a well organised advisory team. Expertise in a variety of areas of curriculum and management can inspire and inform teachers with direct benefits to the quality of children's learning (Harland 1991).

The Education Support Grants that were part of the funding of INSET after the end of the pooling arrangements between 1988 and 1992 included a valuable incentive for LEAs to employ such advisory teachers (DES 1987-91). Before this time, most LEAs had paid fully for advisory teachers, usually on permanent contracts. The ESG advisory teachers were normally on 2 or 3 year contracts.

Under the changed arrangements, the proportion of the resources available to

LEAs allows little freedom to employ such staff from April 1993. Consequently, several LEAs are moving towards a self-financing agency arrangement, where schools can buy in this expertise with their devolved in-service funds. Some LEAs are retaining a small core of such staff to help schools comply with legislation.

iii. to encourage creative and productive co-operation between educational establishments;

Self-management may contribute to complacency and parochialism in some small organisations, where LEAs have had to reduce their advisory support staff and close their teachers' in-service centres. Lively leaders tend to encourage their staff to be active in professional networks, and benefits of this style have been increasingly recognised by centres and INSET providers over the last 25 years or so. (e.g. Schools Council 1968, Rudduck 1981, Hopkins 1986, Brown & Earley 1990).

The political encouragement of competition between schools in recent legislation has been met with dismay in many professional quarters. (e.g. Newsam 1992). The cost of subsidising surplus schools and small classes is recognised, but the effect of the 1992 and 1993 Acts seems likely to be the strengthening of parental choice and the reduction in the system's ability to plan for growth or, particularly, contraction. Consequently parents can have more impact on preventing or delaying the removal of surplus schools.

The professional response in the self-managing context is normally to give the best service possible in the circumstances to the children they know in the school they know. Change can often bring uncertainty, inconvenience and stress, and in such a context the tendency is to support the short term solution rather than look to the longer term benefits for the wider area.

If teachers in an area have co-operated over several years about professional issues; if they know several schools and their varied management styles and resources well enough to have confidence in their capacity to provide a good service; and if there is a basic consensus about values in the professional community in an area - then attitudes are likely to be much more positive when issues such as a local reorganisation involving closures and redeployments occur.

When several community services in an area can cross-fertilise and be

positive in supporting each other through reorganisations, such personal and organisational links can benefit the quality of all the services concerned.

iv. to facilitate professional development and mobility throughout the careers of a significant majority of those involved in educating others;

The concept of the semi-autonomous teacher, working alone with a group of learners in a building where several other similar situations are taking place, has both attractions and weaknesses. The specialist who is unfettered by expectations of being part of a team, or accountable to others for content, methodology or outcomes, can quickly become an isolated demagogue. Conversely, the generalist who is given little responsibility for leadership and has to defer to someone else for every decision can quickly lose confidence or even become deskilled.

Professional development needs to progress throughout a person's life, from initial teacher education, through induction at each new career stage, to having extensive responsibility for other adults as well as students. At each stage the professional is likely to be better at their current role if there is a conscious personal decision to continue to be a learner. Educationalists should lead the way in this, but others in the public services, as well as in other forms of employment, often seem to have a more positive approach to lifelong learning.

Continued professional development for all in education has been taken more seriously since the ending of the pooling arrangements, that enabled a small minority to study for higher degrees. Unfortunately the impetus to broaden the opportunities has recently been led by the vital need to understand the implications of changes in the national curriculum more than the equally pressing need to analyse individual strengths and weaknesses. The move towards school-centred staff development that relates an individual needs-analysis to appropriate in-service activity has had to achieve an often ill-defined and implicit programme of professional development at the same time as explicit goals for curriculum change. The devolution of staff development funds to schools has major implications for identifying and prioritising needs at school and individual levels (Beresford / Cambridgeshire 1991).

Divisions between the ministries of national government, such as between Education and Employment, have been reinforced by the distinct approaches

in local authorities and the 'modus operandi' of many schools. The lack of motivation or resources to promote professional development across the services has led to the continuation of an inter-departmental apartheid between most public services, except where crises bring them together. Even negotiating over roles to be adopted in Civil Defence exercises indicates how far each service needs to become accustomed to working together more closely on a daily inter-professional basis.

v. to maximise the cost effectiveness of resources invested in the growth and development of future citizens.

If the short term cost of initiating closer collaboration is feared, the longer term costs are likely to be considerably greater in times when the expectations of the public services have not reduced in line with the resource base. Targeting how each service can use its strengths to contribute most effectively requires some radical reappraisal of the existing use of resources. Such reappraisal itself should involve professionals and representatives of the public as consumers, customers or clients.

Various aspects may require a wide variety of approaches. For example, the legislation concerning the Local Management of Schools (LMS) in England delegates responsibility for the budget to the Governors of schools, whereas the Delegated Management of Resources (DMR) in Scotland delegates the responsibility to the Head. This could make a significant difference to the extent to which the Scottish regions will be able to continue to exercise strategic planning as compared with LEAs in England and Wales (Henderson 1992).

Ultimately the cost-effectiveness of public services is measurable by demonstrating that the service has added value or worth in the area concerned. This may involve changing departmental or committee structures; it may involve strategic buying of services that have previously been provided; and it may involve reducing services to meet the statutory minimum rather than that which is considered locally to be essential. (Kinsley Lord 1989) In each case, departmental decisions will have a knock-on effect on other services, so the importance of working together at a time of change becomes increasingly important if public resources are not to be wasted.

Such working together may not always be to the advantage of the Education Department in an Authority. For example the DFE has estimated that

Birmingham has spent £64 million less on education this year than was allowed under the Standard Spending Assessment...

"...instead it has ploughed cash into huge civic projects such as the International Convention Centre, concert halls and sports facilities, designed to put Birmingham on the European map and create jobs. Mr. Rose (Chairman of Education services) admits that some of his more corporatist colleagues in the ruling Labour group do not have education as their highest priority. The group's proposal to scrap the education authority in favour of a children's department covering schools and social services was only headed off after a stern warning from Labour headquarters that it is against party policy."

A.Dore : Times Educational Supplement 13.11.92 p 6

In 1992, schools in authorities such as Labour-controlled Birmingham and Conservative-controlled Kent were choosing to opt out of LEAs that they perceived as under-funding education for a variety of reasons. However, the potential relationships between the Funding Agency and the LEAs with which they will have to work do not yet seem to be underpinned with a clear vision of joint enterprise that is desirable, in spite of John Patten's

"... expectation of sensible collaboration between the local authorities and the agency in all but the most Luddite LEAs "
(House of Commons 10.11.92)

Co-operation between independent establishments and those that are part of a local authority should grow if the concept of community services can take root in the changing climate. The historical legacy in some communities will take time to be re-orientated, but there are some encouraging signs emerging throughout the professional community that the longer term benefits of co-operation are worth pursuing.

5. Conclusions

Critical comments about change can be quickly dismissed by the change agents as being reactionary, defending interests in the status quo, or indicating an inability to cope with the challenge of change. The corporate ethos that regards challenges to the 'status quo' as being disloyal is powerful within a Cabinet committed to a style of policies across all public services. Similarly the ethos within the management team of an LEA or a school will predispose the organisation to respond to externally imposed change initially in a particular way.

When the democratic processes involved in passing multiple legislation over

relatively few years achieve a revolution, particularly in public services that affect the majority of the citizens in a country, it seems desirable to seek ways of ensuring that the outcome is eventually perceived by those involved as having achieved an improvement in quality.

Co-operation between services at operational level is most likely to develop if there is clear leadership at local and national levels. Understanding about the way in which functions can mesh at local level is undermined by insufficient inter-departmental experience at operational and strategic levels. Paradoxically, it is the Ministers and some Civil Servants who have the opportunity to gain the wider view by moving between services. Yet the pressure on them to take new political initiatives and to be assertive with the Treasury, on behalf of their areas of responsibility, perhaps prevents a clearer lead on collaboration at national level.

At the operational level, day-to-day co-operation can become more client-centred where local authorities encourage such strategies. If a new praxis is to emerge in the current context, strategic planning for more cost-effective community services may need to promote active informal networking between committed and professional practitioners in different services, as resources are unlikely to become available for formal structures. It would also benefit such professional networking if the roles, rights and responsibilities of lay members involved in strategic guidance in community services became more explicit. The ethos of voluntary, non-political public service is fragile and depends on goodwill. The next chapter considers the role of one aspect of this dimension in the education service.

Chapter 13

THE ROLE OF GOVERNORS IN SCHOOL DEVELOPMENT PLANNING

1. Historical context.

1993 is being celebrated as the 2,500th anniversary of the beginnings of democracy in ancient Greece. During that time democracy has taken many forms in the “incessant and turbulent encounter between ideology and utopia” (Dunn 1993). In the last couple of centuries many political, economic and social facets of democracy have had to be considered during the development of educational systems. Recently, the powers of the elected members of local education authorities in England and Wales have been eroded considerably by the 1988, 1992 and 1993 Education Acts, but the responsibilities of Governors have been enhanced by the 1986 and 1988 Acts. If the rationale behind this changing balance is that governors are crucial, then it might be expected that this would be reflected in school development planning. The purpose of this chapter is to outline the historical context and to consider aspects of the rhetoric and reality of governors’ roles at present.

The evidence both from my 1992 national survey of LEAs (chapter 6) and the project’s 1993 case studies (chapter 7) indicates that the expectations about the role of governors enshrined in legislation and elsewhere are not yet being achieved throughout the UK. For example, 8 English LEAs indicated in their response to the national survey that they do not include in their policy for school development planning an expectation that governors will necessarily be involved in the planning process. Four of these LEAs were London boroughs, three were metropolitan districts and one was a county, and the political control of their education committees at the time of the survey ranged across the spectrum.

An observer from a more centralised context might be surprised that this aspect of legislation has taken so long to be implemented. Around 130 years have passed since the Newcastle Report on elementary schools (1861), the Clarendon Report on public schools (1864) and the Taunton Report on the other secondary schools (1868). Each of the Royal Commissions that

produced these reports had considered some of the issues concerning the roles and responsibilities of governors, managers and headteachers. The establishment of the Board of Education (1899) and the emergence of the local education authorities (1902 Act) were followed by regulations in 1903 and 1904. These clarified further the relationships between central, local and school government.

In 1908 the Board issued a model form of Articles of Government, which led to conflict with some of the northern authorities in industrial areas. The relevance of the issues facing Morant in the Edwardian era to the present context of LMS and LEAs since the 1992 and 1993 Acts are illustrated well by Eaglesham, who wrote :

"He (Morant) had envisaged the state secondary school of the future as mirroring the great public school as he knew it - with a responsible governing body, a self-respecting headmaster and a life and soul of its own. He found that many local officials had very different ideas. They planned to run all the secondary schools of their area under one higher education sub-committee, on one uniform pattern, with the headmasters in a subordinate position and without direct access to any responsible body of governors.

Morant fumed and stormed against these petty bureaucrats, as he called them, 'who would technicalize every school in the place'; he cajoled them and he threatened; he even withdrew grants to recalcitrant authorities; but he only partially succeeded (and to this day his plans for locally maintained secondary schools with real status have not come to full fruition)." Eaglesham 1967

The importance of governors in the context of LMS will be considered later, but the importance of clarifying boundaries between the responsibilities of the local authority and the governors were clearly being recognised in the 1900s, just as the boundaries between the headteachers and governors were recognised in the 1860s.

The 1944 Act consolidated the pattern of representation on governing bodies in LEA, Aided and Controlled schools, and section 17 confirmed that developing the rules of management were the responsibility of the LEA. In hindsight, a national approach might have encouraged a post-war initiative to give a higher profile to the role of governors. It was not until 1960 that local 'associations for the advancement of state education' developed in several areas, with the aim of fostering a closer relationship between the general public, the schools and the LEA. These associations were linked nationally through the Confederation for the Advancement of State Education (CASE). In 1963 it submitted evidence to the Plowden Commission, and issues relating to parental representation on managing and governing bodies of schools became increasingly important.

Teachers' organisations were also becoming concerned that they should be more formally represented on governing bodies and education committees. An editorial comment in 'Teachers World' (6.8.1968) concluded "This of course, assumes that we need managers and governors of schools with professional staffs." As Goodacre (1970 p17) commented, such statements implied that teachers, as professional people responsibly performing a service, do not require overseeing by their clients. In 1968 the Secretary of State also expressed the opinion that teachers should be represented on all education committees, but that it was up to the LEAs to determine whether their co-optative places for 'people with special knowledge and experience of education' under the 1944 Act went to teachers or whether their views could be submitted through advisory committees. A London Institute research report by Baron and Howell (1968), that had found only three LEAs allowing teacher representation on governing bodies, concluded that the case for such representation would grow stronger. In spite of the increased interest in participative democracy in the 1960s, people in their roles of teacher or parent had little effect on policy in governing bodies or education committees in most of England and Wales at that time.

The Taylor Report was published in 1977, and the Commission recognised the importance of setting their recommendations in a historical context. Over 30 percent of the report is devoted to extracts from relevant legislation and an appendix entitled "A historical retrospect 597 - 1945" described "the development of the concept of school managing and governing bodies" in primary and secondary schools. The recommendations in the report about governors' involvement in development planning were clear, and were quoted above in chapter 10, hypothesis 2.1 (page 160).

Reflecting Callaghan's 'Great Debate', the Commission encouraged a broadening of public involvement in schools. It recommended providing for the initial and in-service training of governors and extending the accountability of teachers to governing bodies.

Professional interest in accountability was particularly high and "increasingly fashionable" at this time.(Lello, 1979) The relationship between the DES, the LEAs, governors, parents, headteachers and teachers needed reconsideration in the wake of Callaghan's insistence that the curriculum should no longer be the exclusive responsibility of teachers. Much of the profession was criticised as having become too inward-looking. For example, the SSRC conference on accountability in 1977 focussed on four issues - standards of achievement; the content of the school curriculum; participation by parents; and managerial responsibility for organising learning. In their publication based on this

conference, Becher and Maclure (1978) reflected the spirit within much of the profession by focussing their conclusions on peer-group assessment by schools (and by LEAs). Involving external inspectors from central or local government or lay governors in accountability represented control and curtailment of professional autonomy.

The Cambridge Accountability Project (Elliott, 1979,1981) used a case study approach to research what it termed the “dialogue model” of accountability. It emphasised “the moral answerability of schools to the local community (e.g. through governing bodies) and various client groups within it (e.g. parents and employers.)”

“On this view, schools retain responsibility for educational decisions but allow those whose interests are directly affected by them opportunities for free and open dialogue. By being allowed to question and probe educational decisions, interest groups within the local community can rationally influence schooling without undermining the professional prerogatives of teachers.”

(Elliott 1981 p.1)

The change of government in 1979 involved a shift in political priorities and a reconsideration of the resource implications of the Taylor Report. Seven years later, the 1986 Act required every maintained school to have a governing body and to present an annual report to parents: “The conduct of the school shall be under the direction of the Governing Body” and ... “the Head Teacher is responsible for the internal organisation and management of the school.” The composition of the governing bodies of County and Voluntary Controlled schools was defined under four categories, relating to the number of pupils in the school. The intention was to give increased representation to the parents and to members of the local community within a new statutory framework in which

“the respective roles of the governors, the headteacher and the local authority are clearly defined in a way that enables each of them to make their own distinctive contribution to the school's success.”

(DES/COI 1988)

Most headteachers recognise the importance of being closely involved in the deliberations of the governing bodies to whom they are accountable. The Birmingham survey (Arnott et al 1992 p 69) found that 98% of headteachers attended all meetings of the governing body and that 74% were members of the governing body. 48% of their deputies also attended meetings, and 37% were members, so there is recognition of the management team in such schools as well as the headteacher *per se*. Although the primary and secondary elements of these figures are not available, the involvement of

deputies tends to relate to the size of the school and the management style of the headteacher.

2. Governor training and support

The importance of helping governors with their new role was recognised at all levels, and the 1986 Act had included a statutory duty on LEAs to provide training as they thought necessary. By 1988 the first of several surveys was carried out jointly by NFER on behalf of the DES and the Association that promotes Action for Governor Information and Training (AGIT), together with the Association of County Councils (ACC). This reported on the situation in 81% of the LEAs in England and Wales. It found that in the first year of 1986/7 only about 7% of the total of governors in England and Wales had received training. Although three quarters of the LEAs had an officer with designated responsibility for organising governor training, most of these were officers with other duties. 82% of the LEAs were providing training by the following year, though 84% of the LEA respondents felt that provision was inadequate.(AGIT 1988)

In the Spring of 1989 HMI carried out a survey of governor training in 13 LEAs (DES/HMI 1989d). They found that the “quality and quantity of governor training varied considerably between LEAs” in this “new and rapidly developing area of provision.” They also reported that three LEAs had involved external evaluators to help in the evaluation process.

One thorough example of such an evaluation was carried out by a consultant from Coventry Community Education Development Centre, David Williets, who was contracted by Cambridgeshire LEA in 1990. His report (Coventry CEDC 1990) provides a good case study of the approach taken by a county that had provided training and support for governors since the early 1980s. While most of his recommendations focus on systemic and strategic issues, the report illustrates well the impact of ‘central remunerative and coercive powers’ on LEAs. (Harland 1993 p 216)

The introduction of an Education Support Grant for governor training in 1989 provided a channel through which central government could increase the capacity of governors to play a more active role by enabling LEAs to appoint co-ordinators and promote support. By July 1990 a Minister (Angela Rumbold) was able to announce to the AGIT AGM that every LEA had identified an officer with designated responsibility for governor support. This

speech clearly linked the government's expectation that the next stage of governor support should relate to management issues. Reference was made to two DES-sponsored initiatives : the suggestions of the School Management Task Force about a joint approach to development work for heads and governors (DES 1990a); and to the School Development Plans project (DES 1989e). This speech gave the clearest view so far of the government's view of the role of governors in development planning:

"Planning is often perceived as a most difficult task - maybe more in anticipation than reality. However, experience shows that the greater the understanding of planning the better the acceptance of the view that an "overall plan" gives schools a clearer idea of their current strengths and weaknesses. It also allows the school to set realistic objectives and monitor progress towards them. All this detailed work up to the formation of a final plan should be a major responsibility of governors.....

Governors have to realise that every decision they take about resources or staff development affects the curriculum and they have a responsibility to make sure it fits in with their aims. Testing these decisions against a school plan which starts from clear curriculum objectives is the way to proceed. That does not threaten the professionalism of the head and the staff - but it may give guidance that is helpful."

(DES/Rumbold 1990c)

3. The broadening role

The expectations of governors have escalated since the 1986 act, and in most areas this has been taken seriously. National organisations such as NAGM, AGIT, the Advisory Centre for Education, the Open University, the Workers' Educational Association and more local organisations such as Diocesan Boards, the LEAs and other training organisations have organised a wide range of training opportunities, usually in conjunction with the development of supportive learning materials.

The 1988 Act required the LEA to delegate to the governing body of schools with more than 200 registered pupils the management of the school's budget share for the year:

"The governing body may spend the school's budget share as they think fit for the purposes of running the school, and may delegate that power to the head teacher insofar as the Scheme permits." (Sec 36)

Whilst the policy direction was clear, the government in England and Wales required LMS guidelines to be generated locally (DES 1988b). To help this process, it part-funded the “LMS Initiative”, which was a collaborative venture involving nine organisations : the Chartered Institute of Public Finance and Accountancy, the Society of Education Officers, the Local Government Training Board, the London Diocesan Board for Schools, the National Association of Governors and Managers, the National Association of Head Teachers, the National Association of Inspectors and Educational Advisers, the National Confederation of Parent Teacher Associations and the Secondary Heads Association. The Practical Guide (CIPFA et al 1988) and associated training package produced by this partnership was a valuable professional response to help all elements to implement the new legislation about LMS. The DES also began to produce guidance about the law for governors in ring binders (1988d) which has subsequently been updated when appropriate.

However, there were no collaborative initiatives of comparable extent to help governors with other elements of school development planning, apart from sponsorship by the DES, as mentioned above, of the significant project directed by Hargreaves & Hopkins and the School Management Task Force, both of which produced valuable guidelines. Apart from these, there seemed to be a presumption in the DES that strategies for school development planning, including the introduction of the national curriculum, LMS issues and staff development, should emerge locally. Without a clear lead about the governors’ role in such planning, some LEAs have tended to focus on the curriculum, finance, personnel, monitoring quality or even public relations rather than strategic planning when leading governor training.

The introduction of School Boards in Scotland in 1989 built on a different tradition that has not been included in the foregoing remarks, but is significant in the context of the UK. Parents have been given a higher profile than in governing bodies in England and Wales. Research by MacBeath, McCaig and Thomson (SOED 1993a) was carried out in a random sample of 200 school boards over two years, including 20 that were studied in depth. Four main roles were identified at this stage: support, consultancy, policy-setting and the appointment of headteachers and senior promoted staff. Parents and co-opted members tended to be more optimistic about what their school boards had achieved so far than teachers or headteachers. However, this project considered that the future role of the boards and the crucial relationship with the headteacher will be set in the context of four developments:

School inspection and audit
closer partnership on standards and quality issues;
School development planning and self-evaluation;
Staff development and appraisal
the relationship between the headteacher and the
board will become an integral part of headteacher appraisal;
Devolved management of schools
Boards will be central as management of resources is devolved
increasingly.

While some aspects of the agenda in Scotland are parallel to those in England and Wales, it is important to note that the direction, pace and approach of the Scottish Office is distinct. The structure of the boards and the relationship between the boards, the Regions and Island Authorities, and the Scottish Office is determined by separate traditions and legislation, as was explained in chapter 6. Consequently, comments on governors in England and Wales cannot necessarily be applied in Scotland.

One issue that is similar across the UK is that the national quality newspapers have begun to recognise that a proportion of their readership is interested in educational issues from the perspective of being a governor or board member as well as a parent or teacher. The widened range of ages and social backgrounds that are involved in this role has made it worthwhile for newspapers such as the Times, the Guardian, the Telegraph and the Independent to devote a weekly focus to educational issues. Television and radio programmers also seem to be giving equivalent material a higher priority than in the past. The Times Educational Supplement has introduced a regular section of articles intended for governors, and in the autumn of 1992 published a Governors' Guide over eight weeks. Magazine publishers have developed the niche market for governors, notably with "Management in Education" (Longman) and "Managing Schools Today", which was formerly "The School Governor".

4. Evidence from the case studies

Many individual governors have invested a considerable amount of time and energy in learning how to carry out their responsibilities. It is likely that the support of the LEAs has varied across the country, and it may not be appropriate to generalise about LEAs from the ESRC project sample of three LEAs. The indication from the national survey was that the only county LEA

in the sample was atypical of county LEAs in its approach to school development planning and governors. The other two LEAs were also unusual for smaller LEAs in significant ways - one had been involved in planning for much longer, and the other for much less time than the great majority of similar LEAs. While the opinions of the LEA officers, governors, headteachers, and teachers who have been studied probably represent the situation in those LEAs accurately, their views may not be more than one dimension of the general situation in the UK.

Two of the three case study LEAs in the 1993 sample indicated that governors were not involved in *formulating* the plan. The LEAs considered that the extent to which governors were involved in monitoring the *implementation* of the plan varied between schools, and there were few cases where the outcomes or effects were *evaluated*.

When a sample of 18 governors from the 9 schools were interviewed, it appeared that about a third of the governors were not clear about their role in development planning, including three that had not undergone training. Another third were thoroughly involved and were performing in the way that was intended under the 1986 and 1988 acts. The other third are involved more sporadically, depending on the influence of other factors such as the degree of satisfaction that they experience in the role or personal commitments.

Some of the questions concerned governors' perceptions of the role of the LEA. 3 of the 9 chairpersons were councillors, and 2 of these were on Education Committees. 2 of the 18 governors (11%) mentioned that the LEA had been a significant influence. The same proportion considered that inspectors/advisers and officers have a role in formulating and implementing the plan.

The perceptions that heads and governors bring to bear on planning is likely to reflect their understanding of planning processes more than their experience in role. The relationship between the headteacher, the chairperson and the LEA linkperson, and their cumulative experience of planning, seems likely to affect such perceptions. In the 9 pilot schools, the headteachers had been in post for up to six years; the chairpersons up to 11 years; and the LEA linkpeople up to 7 years. Any school experiencing a change in more than one of these roles may tend to need more help from the third. At a time when LEAs are having to reduce their support for individual schools, the relationship between the headteacher and the chairperson becomes increasingly vital. For example, where there are disagreements between the

governors and the teaching staff about priorities, it is becoming increasingly likely that the headteacher and the chairperson will not be able to seek as much external advice or support from the LEA as in the past.

Governors are expected to know the school well to be able to contribute effectively to planning and other decision-making, and the frequency of their visiting is often used as one indicator. In the ESRC study 18 governors from the 9 schools were asked how often they had visited the school in the last year. Three quarters of the visits (320 of 416 or 77%) were carried out by one third of those interviewed. In contrast, another third had carried out 23 visits (6%), including one who had not visited at all.

Such figures about visiting illustrate the problem of using quantitative measures as indicators of quality, especially where governors and other non-teaching staff are concerned. At this stage in the analysis of the project data there is insufficient evidence about the purpose, length or outcome of these visits. Presumptions about the link between the quality of visits before and after training need to be based on detailed evidence about specific contexts and individuals. There is, however increasing evidence from NAGM, AGIT and evaluations carried out in connection with GEST funding that the way in which an experienced and trained governor can use time productively contrasts starkly with that used by the inexperienced and untrained.

Training of governors has been carried out mainly by the LEAs. In the pilot study 15 of the 18 governors (83%) had undergone training, and all but one of these included training by the LEA. Nevertheless, there was some confusion among them about whether a development plan is required or not, and if so, by whom. 22% were not sure whether the school was required to have a plan; 56% were not sure whether the DFE required a plan and 39% were not sure if the LEA required a plan. Only one governor (6%) expressed the view that a plan was not required. This may indicate that the head, chairperson, LEA linkperson or trainer have not fully explained the context of planning to the whole governing body.

Only 28% (5) felt they had been involved in some aspect of formulating the plan, though 11% (2) felt they had no role at that stage, and 17% (3) felt they had no role in implementing the plan. 61% (11) had seen the completed written plan. 33% (6) considered that governors are not monitoring the use of the plan and 50% (9) had not discussed any evaluation of the outcomes of the plan.

5. Using a range of experience

The increasingly explicit financial responsibilities of governors under LMS accelerated the recognition of the importance of planning. Turning from the project data to personal experience as an LEA representative on several governing bodies in Cambridgeshire, it was clear that in some cases governors from a business context initially equated the school development plan with the narrower concept of a business plan, rather than seeing a business plan as one dimension, or a building block of a development plan. For example, Compulsory Competitive Tendering for school cleaning, grounds maintenance and school meals was introduced in the 1988 Local Government Act. This gave some governors their first opportunity to consider the merits of an LEA's Direct Service Organisation in comparison with commercial competitors. This type of concrete issue may have seemed more like familiar territory to those governors who brought experience of commercial negotiating rather than other community service or education to their governing bodies.

While the school needs to recognise the particular expertise of governors in such fields, such individuals also need to recognise that the financial constraints and performance indicators that are appropriate in schools may not be comparable with those in the business context with which they are familiar. The effectiveness of a school should not be measured by crude output indicators equivalent to profits generated by manufactured goods, and education should be more than a service industry processing clients. As has been discussed in chapter 4, the government (DES 1989a) had emphasised the need for a variety of measurements including indicators of *outcome*, such as academic attainment, parental involvement, pupil attitudes and behaviour, staying on at school, success of pupils after leaving school, sporting or musical achievement; of *intake*, such as the catchment area, abilities and other pupil characteristics; and of *running the school*, for example teacher characteristics, types of programme, and the amount of money raised by parental endeavour.

Three years later (1992) another education minister, John Patten, appeared to ignore the importance of value-added elements outlined in his predecessor's statement and recognised by the Audit Commission (1991). The intention to publish raw examination results in league tables as an output measure met with a teacher boycott of the national testing programme and polls by the Independent and Daily Telegraph (10.5.92) indicating that public opinion supported the teachers. Patten had misjudged the degree of support of

teachers by governors and parents so badly that the TES wondered whether he would survive after a “face-saving exercise” in an “embarrassingly inept Commons statement marked the nadir of his ministerial career.” (Times Educational Supplement editorial 14.5.93). He did survive, but the publication of the examination league tables in 1993, together with truancy tables, were again based on crude data. The advice of the interim report of the Dearing Committee (1993) was added to the professional consensus. Again the need for the value added dimension issue was pursued by articles and comment in the press, which generally helped governing bodies to understand their school’s situation. For example, one newspaper’s editorial encapsulated the issue of how value added tables would measure how much individual schools add to the performance of their intakes as follows :

“Crude tables not only punish highly successful schools which have pushed up standards in deprived areas, but also camouflage the failure of poor performances in affluent suburbs.” Guardian 17.11.93

Whatever political affiliations are held by individual governors, the government’s desire to improve public access to information is welcomed as generally helping democratic processes. When the political intention appears to misfire, as in the case of league tables based on raw scores, it seems that governors tend to give higher credibility to professional judgements.

The inadequacy of crude data can enhance the quality of governors’ discussion where headteachers and LEAs can question both the accuracy of some of the data and can explain to governors the significance of particular elements, such as the date of birth on the exclusion of early examinees from the tables.

6. Expertise and responsibilities

Schools that benefit most from their governors target and develop the skills that each can contribute, and find ways of ensuring that they complement the professional skills of the teachers. Governors may be able to provide not only insight and expertise, but access to other networks that can help to compensate for the decreasing capacity of support services. There are many areas of policy which the governing body as a whole needs individual governors to consider if the development plan is to incorporate a holistic approach to the school. These include the following: Admissions; Charges (for visits and other school activities); Curriculum; Employment of Staff (discipline, capability, grievance, recruitment, retention, appraisal, pay);

Equal Opportunities (in staffing and the curriculum); Health and safety; Marketing; Premises (maintenance, lettings and use); Pupil discipline and exclusion arrangements; Pupil records (maintenance, access and disclosure); Religious education; Sex education and Special Needs. Such policy statements are likely to provide a sound basis for action planning if they are concise, unambiguous, accessible, can be linked with identifiable practice, and represent a consensus between governors, parents and teachers.

Five examples from these areas of expertise in which most maintained schools have until recently been able to turn to their LEA for advice are employment, health and safety, pupil admissions, the curriculum and the wider area of inspection. Aspects of each of these will be considered next.

i. *A school pay policy* is likely to become an increasingly necessary part of an employment policy. This involves a school prioritising the way it should best use the salary proportion of its budget. For example, questions need to be considered about the balance between teaching and non-teaching staff; between experienced and inexperienced staff; and between relating additional payments to performance, responsibility or shortage areas of the curriculum.

The Audit Commission (1993a) reported that schools spend between 57 and 82 per cent of their budgets on salaries, wages and allied benefits. Governors need to be clear about the appropriateness of their particular position on this continuum in relation to previous years and to other similar schools, so that they can relate their recruitment and selection process to the present and future needs of the school.

The radical changes in the 1993 School Teachers' Pay and Conditions Document will make a pay policy increasingly necessary to help governors avoid staff grievances, equal pay claims and claims of sexual or racial discrimination. From September 1993 each teacher needs to be given a written annual statement of points awarded under the six criteria of qualifications, experience, responsibility, excellence, recruitment / retention, and special needs, together with the total salary, responsibility points and position on the pay spine.

Governors may or may not have expertise in such an area, particularly when compared with their LEA's Personnel Department. Although the scope is limited by the budget, governors should increasingly be considering general issues as they relate to motivation in their school. For example, the workload

has increased and salary progression for experienced teachers has become relatively more limited; meanwhile teachers' pay has fallen from being 38 per cent above the average of non-manual workers in 1974 to 2 per cent in 1993 (NUT 1993).

The need for a pay policy represents another stratum in governors' understanding of personnel issues. They will be in a better position to consider controversial issues such as applying a performance-related element in a pay policy if they have already considered the relationship between appraisal, career development, staff development policy and in-service resources in the context of the school's development plan.

ii. *Health and safety policy* is a second example of an area in which governors have increased responsibility since the 1988 Act - to "ensure that the school is run without risk to the health and safety of staff, pupils and visitors." The extent of their duties depends on the degree of control, and whether the LEA's LMS scheme includes health and safety in that which is delegated. The governing body has obligations arising from section 36 (1) of the 1974 Health and Safety at Work Act in conjunction with the LEAs as employers. The headteachers are responsible for carrying out the policies agreed and monitored by LEAs and governing bodies (Health and Safety Commission 1992).

Some governing bodies have found that the first stage of implementing a health and safety policy is to carry out a Risk Assessment. The purpose of this is to outline the major sources of risk in and around the school, the measures taken to avoid and minimise these, and the names of those responsible for doing so. This can become an integral part of a school development plan.

iii. *Marketing* is a third example of an area in which governors can make a considerable contribution. The open enrolment clause in the 1988 Act encouraged parental choice, which had been incorporated in the 1944 Act, but in conjunction with LMS this was intended to promote a market-place approach. Marketing the school began to become increasingly important for survival as the LEA's role changed. The clear expression of an organisation's culture, creativity and commitment should be integral to the development plan and should underpin its efforts to be attractive to parents and potential pupils (Hardie 1991 p14-16). Planning and managing communications with a range of "publics" needs to be a conscious effort, emphasising the qualities of the school. The deliberate marketing of quality in turn implies a strategic process involving the provision, monitoring, control, improvement and display of

various aspects of the school. The governors need to be integral to the decision-making of the school if they are to be able to help the school with its marketing.

However, some governors are on the governing bodies of several schools, or are involved as councillors with the wider scene. They are often more aware that their colleagues of the divisive effect of marketing an individual school and find themselves in a dilemma. The effects have been described in research briefings to the National Commission (Walford 1992, Adler 1993) summarised by Ranson :

"Markets, despite the rhetoric, deny opportunity for many .. (and) create inequality..Competition forces schools to see each other as rivals striving to gain the advantage that will secure survival...From this rivalry emerges a hierarchy of esteem with schools increasingly inclined to select and exclude pupils in order to produce a school population likely to shine in the national league tables... For policy makers this illustrates 'choice and diversity'. Others believe this policy is covertly restoring a selective system in which access to good education is confined to some schools where the social characteristics of parents will determine the choice of admission."

Ranson 1993b p 272

iv. The *curriculum* is the area that probably provides the most fertile ground for disagreement both within the governing body and between governors and teachers. There has been increasing recognition over the last twenty years that professional control over the "secret garden" of the curriculum in practice needed to be balanced with accountability for the innumerable transactions involved every day in the processes of teaching and learning. The ethos of the school should find part of its expression through the curriculum, as can be seen particularly in some voluntary aided schools, or in other systems such as France where schools are constitutionally bound to be religiously, politically and philosophically neutral.

Where controversial areas arise in the curriculum, such as various approaches to sex education, uncertainty among individual governors may polarise discussion related to views held by individual personalities unless credible professional guidance from the LEA or the school is available. Yet the HMI report on the early stages of governor training (DES 1989d) found that the curriculum was largely ignored by trainers as an area in which increasing responsibility required specific attention. The DES subsequently published a briefing booklet to assist in this area. (DES 1991a)

v. A fifth area of responsibility in which governors are increasingly becoming formally involved is that of *inspection*. Before an inspection,

governors must ensure that the school sets up a parents' evening with the Registered Inspector who will lead the team, though governors and teachers do not attend that meeting. After the inspection, governors must ensure that an action plan is drawn up and that parents are told about the findings and the action plan. Later, the governors are also responsible for reporting on progress. Governors that are accustomed to being involved in development planning will expect the action plans that follow inspections to be integrated into the process of clarifying priorities. Those schools with a cyclical planning process in place that includes governors in monitoring or evaluating progress will be able to meet the new post-inspection requirements relatively easily. However, where this is not the case, and the LEA is experiencing a reduction in resources available for support services such as advisory teachers or governor trainers, the capacity of the governors to perform effectively is likely to be significantly impaired.

Since the introduction of a national cycle of inspections under the 1992 Act, some LEAs have encouraged schools to build into their development plans a more explicit strategy concerning quality assurance. The intention of doing so is partly to integrate an approach to self-evaluation that should provide feedback about the extent to which the priorities are achieved, but pragmatically it may also be to ensure that the school is less likely to be surprised by the requirements of an external inspection at any time.

Accountability for quality has needed to be expressed in increasingly explicit terms as the political agenda has encouraged local management in a context of central control. As the roles of elected members and local government officers and inspectors change, teachers are becoming more accountable to the school's governors as the representatives of the local community. Consequently, the governors have an increasing responsibility, both for the quality of planning and for monitoring the extent to which plans are achieved.

Ideally, external inspection and advice should be a complement to rather than a substitute for a regular internal process of monitoring by governors and self-evaluation by teachers. However, in the 25 years before the 1992 Act, LEAs developed a range of approaches to monitoring and supporting schools. So such as Oxfordshire and Enfield emphasised self-evaluation and advice. Others developed separate inspection and advisory teams. The 1992 Act clearly outlined the responsibility of governors for monitoring the progress of action following inspection. The linking of such action planning with the priorities in the school's development plan is becoming increasingly explicit.

7. A strategic approach to governor development

The implications of these five examples of the increased responsibilities of governors for their recruitment, training and support are considerable. A governors' development plan within the school development plan is emerging as one way in which such implications can be identified and addressed. As with plans relating to the development of staff or buildings, a governor development plan needs to include consideration of aims, strategies, priorities across objectives, review procedures, estimates of cost and ways of evaluating outcomes.

The DFE has recognised the importance of governor training by increasing the 60% grant under the GEST national arrangements from £10 million in 1992 to £15 million in 1993. LEAs now recognise the importance of appointing an LEA co-ordinator and sponsoring other services, such as library and information facilities, to support governors.

When the need for new policies, on issues such as pay, is caused by national decisions, the ethos within the governing body becomes particularly important. Publications on school management that provide excellent practical guidance (e.g. Audit Commission 1991, Potter & Powell 1992, Thody 1992, Murgatroyd & Morgan 1993) need to be constantly supplemented by wise advice if governors are to avoid pitfalls that professional personnel officers in LEAs and unions are accustomed to handling. Such advice will have to be paid for increasingly, which is likely to lead to smaller schools tending to adopt ready-made statements of policy generated elsewhere rather than risk legal loopholes in developing simpler policies that suit their perceived needs.

Governor training needs to build on strengths of experienced governors and import other skills and knowledge from elsewhere. A structured programme will probably need to link with inter-school training, which may be specifically for governors, or may be held in conjunction with headteachers or other professionals. Yet the commitment of such unpaid volunteers will wane if demands become excessive for individuals with other commitments. Their main motivation is likely to focus on helping the school rather than developing relevant skills, so the headteacher and chairperson need to pace expectations and responsibilities carefully.

Thody (1992) compared the management roles of governors with those of a director, a consultant, and a representative:

"Directors of businesses are trustees for shareholders' interests, just as governors could be termed trustees for students', parents' and taxpayers' interests." (p.21)

Consultants bring a range of expert knowledge which can be of use to the school. Representatives bring the views of outsiders into the school. The governing body needs to apply a repertoire of styles in developing and applying its policies.

In many governing bodies, sub-committees or individuals specialise in certain areas, such as special needs, curriculum areas, health and safety, staff, premises, finance or marketing. The outcomes from such sub-groups are considered by the full governing body and, ideally, relevant action should be incorporated into the prioritisation process in development planning alongside concerns that have emerged in other ways. Whilst ideally each member of the governing body should be thoroughly conversant with the range of policies that have originated at school, LEA or national levels, some schools have found that it helps to ensure that each aspect of policy is linked with an identified lead governor. The first round of Ofsted inspections identified two schools as being "at risk" and included a criticism that policies were not in place. Harris (1993) has pointed out that a systematic approach to developing and maintaining a portfolio of written policies is becoming increasingly necessary to ensure that the governing body has a clear point of reference summarising its approaches and incorporating earlier decisions.

8. Conclusions

The changing role of the LEA increases the need for each school to ensure that all its governors have the confidence and competence to be as fully involved in the processes related to school development planning as is realistic.

However, in some contexts, it appears that headteachers, LEA officers or elected members do not have the confidence to trust governors to make a significant or even a valuable contribution to the government of schools. In such contexts the process of training and supporting governors may be seen as a time-consuming and unnecessary adjunct to the priority of devoting professional attention to children's needs. Conversely, in other contexts a combination of circumstances can result in the local application of the requirements of legislation causing excessive demands on individuals. The

ways in which the governors - particularly the chairperson - relate to the headteacher, the staff and the LEA need to evolve in a realistic recognition that governors are essentially volunteers representing the community, while teachers are trained professionals employed ultimately by the community.

Ideally a governor development plan should apply practical experience of personnel management and motivation theory to meet governors' needs so that they are encouraged and empowered to be effective. This should include in particular avoiding overburdening practical newcomers with excessive reading of documents in the school development plan, whilst helping them to develop feelings of ownership for the policies that they contain and of involvement in the processes.

A chairman of governors put the issue succinctly in a recent article in which she described her workload and responsibilities in the context of decreasing support being available as the LEA's resources and powers are reduced :

"I have no children at the school, ... no political ambitions. I am a governor because I believe in public service. But if the going gets much tougher I shall walk away. And who will be rash enough to take my place?"

(Dalton 1993)

One concern is that if this element of public service becomes difficult for individuals to sustain, the control of schools may become increasingly vulnerable to corporate patrons - political parties, religious organisations or commercial enterprises. There have been examples in recent years of each of these tendencies. First, in the wake of the 1986 Act the Conservative Party was actively encouraging members to become governors. Secondly, following the 1992 Act there was governmental encouragement for voluntary aided schools to become grant maintained, and for maintained schools to consider becoming voluntary aided. Thirdly, the expansion of the City Technology College initiative by focussing funds into existing schools aimed to attract commercial sponsorship where these colleges had drawn much less than had been hoped. In each case, the control of the schools was influenced as the membership of the governing bodies was modified to reflect the interests of the corporate patrons.

If this trend accelerates, parental and professional influence will be diminished and the independence of lay governors will be reduced. Planning of school development is one of the trends that would be blamed for the demise of democratic governing bodies and for facilitating the growth of bureaucracies lacking both the political accountability of LEAs and the community accountability of governing bodies.

The relationship between the role of the governors and the headteacher underpins the management of development and maintenance in the school, and the Birmingham survey considered in chapter 8 rightly emphasised the importance of this in the context of LMS. The 1992 and 1993 Acts together provide scope for potentially productive or disastrous relationships to develop as the balancing mechanism of the LEAs is reduced and replaced by new ministerial functions and agencies.

Responsibility for quality, including the development of the school, is becoming more explicit a part of the role of the governing body. The priorities in the development plan should feature in the annual report. Statements of expenditure under LMS will include explicit reference to items such as travel and subsistence for governors alongside provision for children with special educational needs from September 1994.

As well as financial responsibilities, governing bodies will be under additional pressure to plan effectively when "incorporation" becomes an aspect of their legal status from January 1994. Although this will protect individual governors from liability, it will probably increase their collective accountability at a time when the LEA is no longer required to have an education committee. Professional support from the LEA will be diminishing as the penalties for failure and the needs for such support increase.

In this context, strategic planning at all levels should be including support and training for governors, but the evidence from the survey and from the interviews suggests that this is uneven. The implications of the legislation already on the statute book has not yet led to appropriate action in many schools. However, it is preferable to end this chapter on a growth area in education with a positive comment on planning from a chairman of governors:

"School development planning requires that we review the structure within which we make policies and plans. There is a strong case for arguing that there should be a school development committee and that it should be the dominant committee... School development, not finance, must be the master now. In practice, this means that the finance committee must be firmly relegated to the status of a service committee whose task is to monitor spending and supply the needs of the development committee."

Corrick 1993

STRATEGIC LEADERSHIP IN SCHOOLS

1. Education and other sectors of the economy

One challenge facing leaders in the changing context of the public education service is to develop a professional style incorporating expertise that has often developed outside the world of schools, universities and local government. All leaders have needed to develop skills to manage change processes within their organisations, and to be convincing about achievement in their sector of the economy. Over the last two decades schools have recognised increasingly the need to prioritise expenditure and to be accountable for achieving goals in a context where the goalposts are moving constantly.

This chapter refers to other sectors of the economy and then briefly considers the issues of a development culture, institutional reputation and leadership. Deliberate planning can contribute to success in each of these factors. Yet the preference for extemporising among much of the teaching profession in this country has resulted in a wider range of fortuitous results between the most and least effective schools. Politicians representing taxpayers and the voting public find such variation frustrating and unacceptable in the context of national expenditure on education. The concern of those parents and employers who have felt that some aspect of the service has failed them can easily be given prominence by politicians or the press as evidence of a general malaise in a decentralised system. However, employers and employees from other sectors of the economy have been encouraged to become involved as governors of schools, and have expressed some surprise that the management style and professionalism that they encounter does not appear to match the stereotypes propounded by some key politicians and journalists.

1.1 Commercial sector

Many governors have experience in the industrial and commercial sectors of the economy. Their attitude to planning tends to be that strategic planning is

essential for organisations producing goods in a competitive economy. Customer needs may be created, may be modified or existing needs may be met. Corporate planning can help to inspire confidence in shareholders and employees. Outcomes in terms of products and profits are relatively easy to quantify, so there is data on which strategic decisions can be based. Corporate reputation, however, is more complex, and this will be referred to later.

The Cadbury Report on Corporate Governance (1992) advocated the principles of openness, integrity and accountability, together with the need to demonstrate high standards consistent with those principles. The detailed recommendations of this report has encouraged retailing and financial companies such as Marks and Spencer to reconsider their financial management and other aspects of planning for development. (Annual Report 1993 p 2-7)

1.2 Voluntary sector

However, there are significant sectors of the economy in which performance indicators cannot be linked as closely with income and expenditure. Performance indicators relating to motivation and persuasion are less easily quantified than those relating to the achievement of predetermined concrete tasks. Where those whose performance is being assessed are volunteers rather than employees, the definition of quantifiable indicators becomes more problematical. Where organisations depend on unpaid volunteers or members to augment paid employees, their approach to management issues in general and planning in particular requires a style that combines professional leadership with motivation of a mass of potentially interested supporters.

One example of this is the National Trust. The Oliver Report (1993) on the constitution of this charitable body contrasts the role of subscribing members with those of shareholders voting at annual meetings of companies (p 16 - 24). Lord Oliver concluded that consistency of policy was necessary to fulfil the Trust's objectives (para 43) and that strategic decisions by the Council of the Trust were more likely to achieve this consistency than voting at annual meetings of the membership. (paras 43 - 4).

A second example of this is the Church of England. The Bishop of Ely formulated a Development Plan for the diocese (Ely 1992) in which he outlined a financial plan linked with a strategic approach to developing new priorities and devolving responsibility.

1.3 Public sector

The public sector often involves a complex mixture of public accountability, service to the community and professional expertise. It can also display the strengths and weaknesses of bureaucratic structures in a democratic society. Financial constraints on public spending are a constant part of the context in which the politicians and the professionals dispute the best ways of achieving cost-effective ways of meeting public needs.

The introduction of policies based on a particular set of political principles have been reflected, for example, in strategic planning in the education, health and police services. There are some parallels in the developing use of performance indicators in various public services as responsibility for cost centres is delegated.

Two examples of corporate plans from the education sector are those produced by Ofsted (1993b) and the Institute of Education (1992, 1993), which set out clear strategies and targets. The nature of Ofsted's work makes it feasible also to include performance indicators. Some Professional Associations, such as the Association for Science Education, have also adopted a more strategic approach to planning.

When LEAs offered guidance to primary schools about development planning, the great majority involved headteachers in consultation with inspectors and officers beforehand. Their experience of planning was predominantly in the public sector, though many would have been aware of management development issues that originated in the commercial sector. The emergence of LMS and GMS, and increasing professional accountability to governors and parents, was recognised in most LEAs. However, the evidence from the survey presented in chapter 6 indicates that non-teaching staff, parents and pupils were largely excluded from development planning except for their contribution to the school audit, notably in Scotland.

2. Towards a development culture

In the context of the extensive adoption of school development planning found in the survey, it seems appropriate to question whether this is merely another fashion which is being promoted to encourage greater managerial efficiency, or whether it shares with other "movements" in management a

quality that can have a significant impact on effectiveness. As Stenhouse warned, "Improving education is not just about improving teaching as a delivery system." (1984 p.75) The creation of a "development culture" in a school can be a powerful motivator for staff. It can help staff to retain enthusiasm about curriculum issues and can inform staff selection priorities. "The power of culture is that it can sustain a complex pattern of norms" wrote Rudduck (1991 p.66) on curriculum innovation. Similarly, in the context of LMS, for example, the tendency to appoint younger, cheaper teachers needs the balance of a strategic approach to staffing for experience in management and curriculum issues. A "staff profile fund" is one tactic that enables such a strategy to be implemented within a school pay policy, as was indicated in chapter 13, page 225. This involves deliberate decisions about resourcing key tasks and ensuring that funds are prioritised or set aside to pay for the implications of such decisions.

A development culture can help to bridge the variety of human characteristics that exists even in small organisations such as primary schools. The arts / science continuum in secondary schools is paralleled in that of the voluntarist / determinist continuum in business (Gouldner 1980). Entrepreneurial management and charismatic leadership are affected or controlled by contextual and economic factors to a considerable extent. Bettis and Donaldson (1990) have argued that economic and management theory appear to be mutually exclusive concepts with different theoretical frameworks and analytical techniques.

3. Building a reputation

The attraction of continuously planned change, through techniques such as the Hoshin method of setting challenging goals beyond the "comfort zone", appears to underpin several approaches to organisational development. (Murgatroyd 1993 p.127). Yet many of the contextual influences that affect schools lie outside the power of their strategic choice. This may encourage headteachers to look for role models in handling change.

School reputations can be volatile within a community, where a few incidents of bullying, stealing or violence can quickly undermine a positive image. League tables of academic achievement or truancy may serve to underpin reputations or to undermine them. The professional concern to build in recognition of the value that the school has added is an acknowledgement of the potential impact of such measures on reputation.

In studying business reputations, Fombrum and Shanley (1990) argued that four factors contribute to external perceptions:

- ~ level of share ownership by institutions rather than individual shareholders
- ~ level of social welfare and responsibility
- ~ level of media visibility, and
- ~ size

It may be relevant to adapt these factors to schools that aim to develop their reputation and their roll in an LMS context by stressing:

- ~ level of active involvement of governors and staff in development planning
- ~ level of school's involvement in the community, good communications with parents and caring ethos that extends to every individual adult and child in the school
- ~ level of media visibility - particularly positive features
- ~ size - featuring both collaborative and competitive aspects with other schools

Reputations reflect the values that are held in high esteem, and these vary across the country and between countries. Hofstede (1980), summarised by Wilson (1992), has suggested broad clusters of nations based primarily on three factors:

- a) The prevailing sense of individualism or collectivity in each country
- b) The power distance accepted in each country
(e.g. centralisation, autocratic leadership)
- c) The degree to which uncertainty is tolerated or avoided.

The four broad clusters of countries identified by Hofstede are:

1. Scandinavia
 - based on values of collectivity, consensus and decentralisation
2. West Germany (pre-1990) Switzerland and Austria
 - valuing efficiency and seeking to reduce uncertainty
3. Great Britain, Canada, USA, New Zealand, Australia, Netherlands
 - between 1 and 2, but valuing strong individuals and achievers

4. Japan, France, Belgium, Spain, Italy
- bureaucratic tendencies, a pyramid of people
favouring a large power distance.

Whilst exceptions can be found in such ideal types, there are parallels with Handy's (1986) four organisational cultures.

"Power cultures favour and nurture strong individuals; role cultures favour the pyramid of people as well as a large power distance and the reduction of ambiguity. Task cultures represent the decentralised, consensual organisation which favours group working (collectively) over individualism. Person cultures favour individualism, but avoid bureaucratisation or large power distances."

Wilson 1992 p.90

These three analyses by Fombrum & Shanley, Hofstede and Handy describe factors that are reflected in microcosm in LEAs and schools. While the survey did not reveal clear regional differences within England, the cultural differences between organisations - whether schools or LEAs - reflect the accumulated effects of many decisions and styles of leadership. If the relationship between the culture and the reputation of a public service organisation can be improved by deliberate action, as a business might promote a particular image of its internal culture, then consideration should be given to including this in development planning.

4. Leadership, bureaucratisation and the management of change

Weber considered that the skills of the civil servant, the politician and the scientist were fundamentally different, and deplored the post-Bismarck domination of Germany by bureaucrats rather than politicians. He considered that leadership and personal responsibility for principles can be accomplished only by

"men experienced in weighing the effects of public statements, men with the politician's sense of responsibility, not the bureaucrat's sense of duty and subordination that is proper in its place but pernicious in political respects."

(Weber 1921/1978 p 1438 quoted in Roth 1979 p 98 - 102)

It is politically popular to link the revitalisation of public services with "de-bureaucratisation", and mechanisms currently being promoted include charters for consumers, more competition and more freedom of information. These trends can either lead to decentralising power, empowering individuals

and communities to make choices for themselves, or to privatising services to reducing tax-related expenditure. Savings can be achieved by reducing the costs of labour through changing conditions of employment. Critics point to decreasing accountability, a centralising of authority and a decentralisation of blame. (e.g. Mowlam 1993)

Schools are being encouraged to plan in a context in which policies appear to contain contradictions (Chitty and Simon 1993), as the encouragement of market forces and of central control creates tensions. For example, parents can choose between schools all of which offer the national curriculum. LEAs must reduce surplus places, but schools threatened with closure can seek to opt out of LEA control. The management of change at school level is most likely to lead to national improvements if the policy context is unambiguous, and there is strategic planning by local authorities that are accountable to local communities.

"A wise government would have given local authorities a planning role in relation to all state-funded schools even if it was not willing to maintain their former role in provision of all such schools"

Stewart 1993

Headteachers are faced with the need to plan strategically but many of the pressures on them appear to encourage reactive short-termism.

"A rational approach to planning does not seem to reflect the reality of school life...Schools work in a turbulent, discontinuous environment where apparently rational, objective plans are insufficiently responsive to unexpected events"

Knight / Barker 1993

Can headteachers overcome Weber's divisions and combine the leadership skills of the political leader, the value neutrality of the bureaucrat and the intellectual clarity of the researcher in development planning, or are such characteristics mutually exclusive in the 1990s? Some charismatic headteachers resented expressing development plans in written documents, formalising consultative processes, and implementing national curriculum and assessment policies. They felt that their role as a professional leader in the local community was being superseded by that of the local bureaucratic implementer of central government policy. The NAHT's lack of respect for the Secretary of State at the end of his address at their Spring conference in 1993 could be interpreted as representing their frustration at their changing role.

On the other hand, Wallace (1992) has suggested that a contingency approach to planning that emphasises flexibility is essential in the present turbulent

conditions. In this context, he does not consider that school development plans “should serve the dual purpose of collecting information for LEAs and guiding development activity in schools”.

Conclusion

The management of change in schools needs to incorporate not only recognition of contextual, economic and human issues, but also broader aspects of the culture of which it is a part. The links between these dimensions may be unclear both to newly appointed headteachers or classteachers, or to governors, parents and non-teaching staff. Jean Rudduck ended a book with a challenging agenda for improving quality, including the assertion that

“Recognition that the pace of worthwhile change - change that achieves new cultural coherence and significance - is relatively slow, and that ways have to be found of keeping up the momentum.”

Rudduck 1991 p 141

Schools need to benefit from the experience of others in focussing both on the most worthwhile types of change and on ways of maintaining momentum in a development culture. In a context of subsidiarity, when responsibility is increasingly devolved from the LEA to the school, such momentum can be encouraged by spreading management responsibility within the school. This has been promoted also within the Australian context :

“The need for outstanding and widely dispersed leadership is palpable... This leadership must be more transformational than transactional, with the former implying a capacity to engage others in a commitment to change, while the latter is more concerned with maintaining the status quo by exchanging an assurance of a secure place of work for a commitment to get the job done ... This leadership may be described as ... more visionary than managerial, and more artistic than scientific “

Caldwell & Spinks 1992 p 19-20

Leadership styles will require continual fine tuning to changing contexts, and need to include a tactical approach to promoting a positive reputation. There is increasing evidence that school development planning processes can contribute to promoting school improvement in the context of local and national changes.

Chapter 15

CONCLUSIONS : SYNTHESIS AND PERCEPTIONS

1. GENERAL CONSIDERATIONS

The concept of strategic planning is hardly new to managing organisations, whether at the level of national systems, local authorities or schools. Experience about how to make things happen in organisations has been developed in military, industrial, professional and public service contexts over centuries. Relationships, such as those between resources and output, can be predicted in relatively stable contexts in ways that are less feasible in turbulent situations. Planning should reduce stress by increasing the effective use of time. However, such planning often involves :

- a creative tension between the predictable and the unpredictable;
- key people in an organisation needing a range of skills of managing change;
- an organisational ethos that values freedom within its structure.

The introduction and promotion of an idea such as school development planning in a relatively decentralised education system could have been approached in various ways. In England, LEAs have developed a similar approach to the two elements of the plan that have been centrally determined - national curriculum development planning and planning for GEST in-service resources - but they vary considerably in their approach to other aspects of content and process. This variation is a consequence of a combination of factors such as size, systemic cohesiveness and leadership style. The Scottish Office ran a pilot scheme to test hypotheses and develop a particular approach before producing guidelines and related in-service materials.(1992 a-d) The experience of Scotland, Northern Ireland and, to a lesser extent, Wales, illustrates how smaller, more centralised systems have a greater internal similarity of approach as a result of reducing the scope for local development.

Since the survey described in chapter six, the centralising influence of Ofsted has been developed in England, and this may prove to be significant in

promoting the processes of development planning. The guidance materials that Ofsted has produced for supporting inspectors give more emphasis to seeking evidence of strategic planning, though less on in-service training, than previous HMI practice. Specific requirements now encourage schools to incorporate both general development planning and specific action planning in their everyday management practice. Schools are likely to monitor their own progress more effectively as criteria become more explicit. Ofsted's quality assurance and development team will be responsible for evaluating the quality of Ofsted's own work and the contribution that inspection makes to the improvement of schools.

2. THE QUALITY OF THE EVIDENCE

The enquiry form had been designed with the intention of seeking information and attitudes about a few key elements. It was completed by all 135 LEAs in the United Kingdom, and it was evident from the comments that respondents had given much thought to their responses.

However, it seems reasonable to expect that the quality of response will be better in some cases than in others in ways that may not be immediately apparent. In determining whether particular responses represent aspirations or ignorance rather than reality, some interpretation of particular phrases or responses has been necessary. While most responses may represent careful thought, the quality of a few other responses is probably less robust, and in handling the individual responses it has become increasingly clear which ones need to receive particular attention with respect to validation.

As the purpose of the enquiry form was to determine the LEA's approach to planning, it is clearly important to ensure that the respondent's perception of the LEA's approach is accurate. The seniority and experience of the respondent is therefore significant, and it is encouraging that in almost every case the reply comes directly from a senior inspector, adviser or officer .

Such people are very aware of being accountable to elected members and chief officers who quickly detect attempts to mask reality with rhetoric. If the appropriate answer to a question is not known, such senior staff normally consult with specialist colleagues. In a few cases, staff with appropriate experience may make an intelligent guess in the light of their knowledge of their LEA. Staff with insufficient experience to make such a judgement would tend to leave the question unanswered.

About one third of the LEAs sent a copy of their guidelines or in-service materials for schools, and in some cases it has been possible to check that the response to the enquiry form matches the content of such materials. Most cases of not responding to questions were from LEAs that had not sent other materials.

3. LEA APPROACHES TO SUPPORTING SCHOOL DEVELOPMENT PLANNING

The variety between the ways in which LEAs support planning will be addressed along two dimensions. Demographic characteristics are juxtaposed with both content and process aspects of school development planning, and with the ways in which LEAs use such information. Such demographic data includes the size of the LEA identified by the number of primary schools; the main type of metropolitan, mixed or rural communities it serves; its proximity to similar or contrasting LEAs; its location within the national socio-economic pattern; and its political complexion at the time of the survey.

LEA approaches to mandatory and discretionary elements in school development planning, and to planning processes.

i. Mandatory elements in school development planning

There is no requirement in primary legislation that schools must produce development plans. However, expectations in administrative memoranda relating to the introduction of the national curriculum and to grant-aided in-service training in England make it clear that evidence of planning is required from LEAs. The LEAs in turn have applied this expectation to schools in various ways, but the result has been that every LEA expects schools to include information about curriculum and staff development planning in their school development plans.

ii. Discretionary elements in school development planning

Most LEAs also expect schools to include organisational issues, particularly

in Northern Ireland and England, and to a lesser extent in Wales and Scotland. There is no particular correlation with the size of the LEAs. Variation between LEAs increases when consideration of finance, premises, organisation, and context are taken into account. Where Local Management of Schools has been operating in the primary phase for longer periods, there is a greater concern that schools should include indicators of planning related to financial and property issues. At the time of the survey, all the Boards in Northern Ireland and 86 percent of the LEAs in England and Wales expected schools to include financial planning, but 42 percent of the Regions in Scotland did not. The inclusion of premises issues by 79 percent of the LEAs in England and Wales followed a similar pattern to financial planning

One question in the enquiry asked whether there was an expectation that schools would include explicit reference to their “context” in their plans and planning. A note explained that this was intended to include both internal and external dimensions - the ethos and climate, as well as communications with parents, community, governors, local and national government, and the extent of such involvement or participation.

Only three-quarters of the LEAs expected schools to incorporate contextual or ethos elements, ranging from 58% in Scotland to 100% in Northern Ireland. The importance of this factor has subsequently been emphasised both in the Ofsted handbook and in the Guidance from the Scottish Office, so this proportion is likely to have increased since the data was collected.

iii. Planning processes

Headteachers in over 80 percent of LEAs in England and Wales work with their deputies, teaching staff, governors and an LEA inspector / adviser in development planning. The involvement of non-teaching staff, LEA officers, parents and pupils varies widely. The involvement of parents, for example, is identified less by LEAs than might be expected. Section 7 of this chapter correlates this distribution with voting patterns at the 1992 election and with LEAs in which 10 percent of the pupils are already in grant maintained schools.

Schools that were initially cautious about LEAs encouraging development planning were often concerned at the consequent potential for LEA control from sharing such information. The reduction in the powers of LEAs over the last five years through legislation was perhaps anticipated more by the LEAs

than by the schools. 90 percent of the LEAs in the UK expect plans and / or priorities from schools, and about two thirds of these claim to analyse the results “extensively”.

4. MONITORING THE OUTCOMES OF PLANNING

The great majority of LEAs in England and Wales use school development plans and planning processes in their inspections and monitoring of schools. They are used for planning the support of schools particularly in Northern Ireland and non-metropolitan areas of England and Wales.

While such planning is clearly being linked with the role of the LEA, whether it has inspectoral duties or not, it would seem that rather less attention has been given to linking the strategic planning of resources in the medium term at LEA level with tactical deployment of such resources at school level. The reduction of the LEA's role in deploying inter-school support presents a significant challenge to schools. The relationship between elected members and governors on development planning has depended much on the scope allowed to officers and inspectors in LEAs with varying traditions.

Planning and monitoring progress is an integral dimension of a school management team's accountability to the pupils, parents, staff and governors. The LEA in turn is publicly accountable both to the local community and to central government for the care and maintenance of the local part of a national service. The intentions of the 1992 and 1993 Acts are that the effectiveness of the service will be more closely evaluated through inspectoral procedures that are co-ordinated at national level.

5. LEA PERCEPTIONS OF THEIR ROLES

The 1993 Act was not drafted at the time the survey was carried out, but the trend of the legislation from 1988 was increasingly becoming clear. Many senior LEA officers and inspectors felt saddened or angry about a deteriorating relationship with successive Ministers and the Department of Education and Science and its successor, the Department for Education. LEA officers and inspectors - particularly those in larger LEAs - are accustomed to being in the front line, contending with significant political tensions and considerable practical pressures. Their responses in the survey indicated that

they felt insulted by the travesty of the image that continued to be popular with some politicians and businessmen of the pedantic and officious local bureaucrat squandering public resources and undermining parental rights. In many areas teams of highly professional, well qualified and experienced senior staff were engaged in complex strategic planning and operational management of multi-million pound budgets and thousands of employees. The locally administered service was working relatively closely with HMI and the DES, and had increased its efficiency and effectiveness in radical ways which had been recognised by the Audit Commission (1989) and Department of Trade and Industry.

Into what was generally a positive and developmental climate, the idea that schools should be able to opt out of the LEA gathered political momentum during the preparation of the 1988 Education Reform Act. The opportunity for schools to become responsible for increasingly large proportions of their own budgets had gathered momentum as confidence grew with LMS, but now it became increasingly ensnared with political overtones. The proposals to become maintained via central government grant rather than local government was linked with opting out of local control rather than opting into central control.

Opting out became linked with reducing the power of Opposition Parties to control local councils, as education involves the majority of locally-controlled tax expenditure. Also the reduction of taxation was a political cornerstone for the Conservative Party in the 1992 election, and this required bold action in all departments. At local levels, the deliberate linking of county and metropolitan districts in the public mind with petty bureaucracy rather than with accountable and cost-effective local services was resented by officers and inspectors as cheap opportunism by some national politicians and their advisers.

The subsequent pressures to reduce the roles and responsibilities of the LEAs by diverting resources has been seen by many LEAs as leading to a reduction in the schools' capacity to operate as cost-effectively as before. Support services that contributed to the quality of management, teaching and learning in schools have been affected adversely in most areas. Their partial conversion into business units has changed the strategic planning criteria from focusing on children to needing to focus on operational financial considerations. Educational worth determined by professional experience has had to give way to financial viability determined by national political expediency.

Concern about the politicisation of resource priorities has been deepened by the way in which aspects of education appear to be deliberately distorted by some politicians. In the context of educational research, this concern was expressed cogently at the Presidential address at the 1992 BERA conference

..

"Traditional epistemology's supposed neutrality is challenged. The categories of 'truth' and 'knowledge' are seen to be not only hugely complex and ambiguous but politically saturated."

Gipps 1993

The pace of the general introduction of a "consumer-led and market-orientated culture in education.. driven by ideological and political conviction rather than by rational argument and research" (Bolam 1993) is of concern to many involved in education. Bolam added that

"The best hope is that the features which go to make up the regulated or quasi market, like the national curriculum and approved inspections, will prevent the worst excesses of an unregulated, free market." (p.234)

Much of the national press unwittingly adds to the pressure by its frequently negative attitude to local government in general and to education in particular. Gipps also gave several examples of misreporting in the popular press and of "a general discourse of derision" for expert opinion in education.

Views of this national picture also vary regionally. The domination of the south-east continues to be resented in other parts of the country, even where the majority vote was for the government until the local elections in 1993. The insensitivity shown to local needs by some central government decisions such as rate-capping is particularly disruptive at a time when recession is increasing demand on inter-linked local community services.

In summary, many LEA members, officers and inspectors at present perceive the role of local government as declining in a radical way that will lead to the dismantling of structures and systems without sufficient compensatory arrangements to prevent the impoverishment of children's learning.

6. LEAs AND GRANT MAINTAINED STATUS FOR SCHOOLS

The deployment of national resources to promote grant-maintained status is particularly frustrating to LEAs that worked over several years to develop headteachers' and governors' capabilities to implement local management of

schools within the strategic co-ordination and accountability of the LEA. The 1993 Education Act, which established the Funding Agencies and other regulations to accelerate the grant-maintained policy, did not indicate the basis of common funding formulas. Strategic planning by LEAs needed such information so that their systems could be modified to meet the changing needs of the schools for which they continue to be held accountable.

i. Links with the 1992 national election

One indicator that assisted initially in distinguishing between LEAs was the strength of their support of the Conservative Party at the 1992 election, that took place while my enquiry forms were being returned. As might be expected, there is a considerable correlation between constituencies in which over 50 per cent voted Conservative and those in which ten per cent of the pupils were in GM schools by the end of 1992. This pattern is illustrated in the following table:

Political voting patterns (April 92) & GMS (Jan 93) : counties only, excluding metropolitan areas

a) Over 50% conservative + over 10% pupils in GMS	12 LEAs	av 54%
b) Over 50% Conservative + under 10% pupils in GMS	7 LEAs	av 53%
c) 40 - 50% conservative + over 10% pupils in GMS	3 LEAs	av 46%
d) 40 - 50% conservative + under 10% pupils in GMS	13 LEAs	av 45%
e) Under 40% conservative + over 10% pupils in GMS	-	
f) Under 40% conservative + under 10% pupils in GMS	7 LEAs	av 31%

A significant correlation is identifiable between political voting pattern and support for GMS.

The ten per cent threshold was the initial stage at which the LEA would have to begin to share responsibility for administration with the Funding Agency. Consequently the Funding Agency would be having the greatest part of its work in areas that are predominantly Conservative. If the GM policy was intended to impact on Labour Authorities by reducing their power, it has either been a serious miscalculation or there still needs to be a significant increase in the proportion of the schools that accept this approach.

ii. Links with involvement of parents in development planning

In general, opting out seems to be slightly later in counties that say they have involved parents more in development planning, as was mentioned in chapter 6.2. The enquiry indicated that parental involvement was more widespread in Inner than Outer London Boroughs, and greater in London than elsewhere.

LEAs that will be first in the position of having to share responsibility for schools with the Funding Agency are those that indicated in response to the enquiry that they did not involve parents in their school development planning. The reasons for this may vary, as is indicated by the LEAs that both involved parents and are already at the 10% level. Such reasons may be linked with political, economic, social, or geo-historical factors. The development of governors varies significantly between areas. The styles of LEA management and administration have varied so that schools in some areas feel alienated from the LEA, whereas in others they feel integral. Where schools consider that they can gain from reorganising or from avoiding closure there may be specific local influences on the decision.

iii. Links with school effectiveness and improvement

There have been various reasons for schools to sever links with their authorities, but there does not yet appear to be clear evidence that greater autonomy in itself necessarily leads to school improvement (Bush, Coleman & Glover 1993). The capital grants and redeployment of the recurrent grants that grant maintained schools controlled had enabled ...

"...many of the schools ..to improve the quality and extent of their accommodation, equipment, book stock and other learning resources."
DES 1992d p.21

However, in the following year, Ofsted reported that

"the quality of teaching could not be said with any confidence to be either better or worse in grant-maintained than in LEA-maintained schools"
Ofsted 1993a, p.10

Bush (1993) has identified several basic issues that require research before

the Government should claim that self-governing schools are more effective than those remaining under the reduced control of the LEAs. Gray et al (1993) also considered that links between autonomy and school improvement should be studied over at least three years before a trend could be established.

iv. LEA attitudes

The White Paper that preceded the 1993 Education Act spoke of 1500 grant-maintained schools by April 1994, and anticipated that at least half of the 3900 secondary schools would have opted out by 1996. The Department for Education informed the Commons Select Committee in November 1993 that 2.26 million pupils will be in grant maintained schools by 1995-6, compared with 5.2 million in the rest of the state system. Before the November budget it was estimated that the capital programmes for grant maintained schools would have around £110 per pupil as compared with £65 per pupil in the other schools, and the disparity was increased in that budget. The 1993 Act included contingency arrangements for a system in which all 23,000 state schools would become grant maintained.

Nevertheless, in this context, LEAs are expected to be impartial in their attitude to schools seeking grant-maintained status. A Times editorial commented that

"Such is the determination of the education department to reach its target of 1500 opted out schools by next year, that ministers have recently fought an unseemly guerrilla war with several local authorities accusing them (rather implausibly) of 'intimidating and harassing' parents."

(Times 1.2.93)

The relatively slow take-up of the policy led to several amendments to the Bill that became the 1993 Act. These included the requirement that governors will debate annually the issue of changing to grant-maintained status and will explain the subsequent decision to parents in their annual report. The surge of interest in opting out that followed the 1992 national election slowed significantly in 1993, and by November the Electoral Reform Society was indicating that the figure for ballots had declined significantly. Although about 1000 schools have opted out, it seems unlikely that the figure of 1500 will be reached by April 1994 unless the funds gained in the November 1993 budget are deployed as significant new inducements to opt out. Meanwhile, LEAs are faced with managing the practical implications of transforming complex support structures so that some of their most valued aspects are retained.

By October 1993 at least six Chief Officers, all from Labour-held authorities, had been publicly called to account for alleged inaccuracies in anti-opting out material.

"As Chief Officers hold politically restricted posts under the Local Government and Housing Act, they are banned from making overtly political statements, but the line between political and professional comment is blurred"

stated the TES after publishing a trenchant article by Kent's Director of Education (15.10.93). In that article, Roy Pryke had expressed concern that

"what was originally a minor and perceivably beneficial element of Kenneth Baker's Act is threatening to undermine the quality of the education service wherever more than a sprinkling of schools become grant maintained. The opting-in to a grant maintained sector is a misfit policy which is damaging the success of local management and the potential of the national curriculum ... it is diminishing our capacity to support schools in their management of curriculum, finance, contracts, personnel and property." Pryke 1993

As the move towards grant maintained status is predominantly affecting the secondary sector, the loss of the LEA's capacity is likely to affect support for primary schools particularly hard. In Kent, for example, almost half of the 126 secondary schools but only 11 of the 570 primary schools were grant maintained in October 1993.

v. Variation between LEAs

In some parts of the country there were still LEAs in November 1993 in which all the schools continued to reject this government initiative. This was highest in the metropolitan districts, located in the midlands and north, where 56 percent of these authorities were still intact. Similarly there were no grant maintained schools throughout the north-east region, from Humberside to Northumberland. Scattered across England and Wales, over a third of the counties and a quarter of the London boroughs were in this position.

This may indicate that networks between schools and the LEAs in such areas are working to maintain, or have more confidence in the current arrangements. The acceleration in the work of the Boundary Commission that has the task of considering unitary authorities, together with further reductions in central government finance for local government, may affect the ability of the present authorities to continue the level of services that inspire such confidence.

7. LEAs and CENTRAL GOVERNMENT

Returning to the article by the Kent's Director of Education mentioned above, after criticising the grant maintained arrangements for being "confusing, incoherent, wasteful and corrosive", he concludes :

"My concern and that of my politically-hung county council is to secure sound and coherent management of the public education service for all children and communities. That does not necessarily mean through LEAs, although nobody has come up with anything better."

Pryke 1993

The area of school development planning has been recognised by many LEAs as one of the ways in which they can help headteachers, staff and governors to manage change more effectively. LEAs that have reached the 'proactive' and 'systematic' stages (described in section 4 page 241) in supporting their schools have had particular impact in helping schools to come to terms with the variety of challenges and changes facing them at present.

"The changes of recent years - the national curriculum, regular testing, publication of examination results, self-governing state schools, rigorous and more frequent inspection of schools - cannot be seen in isolation. They are part of a tightly-knit package of measures that are redrawing the educational landscape."

Patten 1993

External links are appreciated by headteachers and governors that value the opportunities afforded by financial and managerial autonomy but perceive the constraints incurred in isolation and aggressive competition. Various forms of collaboration beyond the imperative of the market place for 'customers' and centralised funding at present seem likely to survive, though in a modified form. Some local education authorities have already replaced the term 'authority' with 'service' in their titles. Business Units are finding ways of retaining a service to the disadvantaged by differential charging. The LEAs are changing radically at present, and are handling the financial, political and professional issues in their own ways. The quality of their leadership is being tested, and the way in which they have approached supporting their schools in development planning provides one measure of that leadership in the past.

The 1993 Education Act appears to marginalise such leadership. The establishment of the Funding Agency for Schools and the School Funding Council for Wales represent a radical departure from the extension of the functions of the Audit Commission mentioned in section 220 of the 1988 Education Reform Act. Issues such as the compulsory purchase of land from

the local authorities (chapter 35 paragraph 38.1) and the abolition of the requirement for local authorities to establish education committees (paragraph 296) are among the 26 pages of changes to previous legislation. Almost half of schedule 19 that contains these changes relates to legislation enacted in the previous five years.

Despite this, the growth in the quantity of regulations and in the centralisation that many of them contain is of increasing concern. The staffing costs of the DfE increased by 43 percent in the three years to 1992, with the overall running costs reaching £112 million, and are planned to increase further in 1993-4. Politicians of all parties have expressed the desire to reduce bureaucracy, linked with intentions to devolve decision-making, responsibility and accountability to more local levels.

The government took an initiative in 1993 by appointing a Minister with responsibility for deregulation (Neil Hamilton). There is a difficult balance to be struck. On the one hand, a complex modern state generates increasingly detailed regulations, many of which are intended to protect the public; however, the bureaucracy that is necessitated to implement such regulations is expensive, which may undermine the aims of the changes and be politically undesirable.

Secondly, there is a creative tension between gaining political advantage from concurrent devolution and centralisation. There is evidence of this at each level of government - between European and British governments, between national and local authorities, between LEAs and schools, and even between schools and departments.

One level will serve as an example of this tension. National attitudes within the European Commission vary towards the "Committee of the Regions" set up under the Maastricht Treaty with effect from November 1993. This committee..

"will have to be consulted on all European Union matters concerning economic and social cohesion between the Union's disparate regions, the spending of structural aid funds, culture and public health." "The British government has said to the Commission in Brussels that it will not be helping Britain's poorest local authorities to take up £329.24 m in regional grants for which they are eligible this year. Instead it has asked for revised spending plans so that the EC money can be funnelled into quangos, development agencies and universities."

Doyle 1993

Equivalent examples can be quoted within LEAs that found ways of delaying the introduction of LMS, or within schools that minimised financial

responsibility at departmental level. Subsidiarity or delegation involve empowering levels or organisations that are closer to the individual, and this diminishes central control.

A study of 323 schools in the US has found that decentralising is less successful in areas that are “politically intense and conflictual”:

“Variability across schools in curricula, personnel, discipline, and standards and so on that is likely to develop in a decentralised system could generate detailed and penetrating questions about efficiency, equity and good management .” p 152

“In a centralised structure .. concerns can be closely monitored and responses made quickly, thereby showing outside groups that their concerns are receiving attention; .. it can more effectively establish a protective shield and buffer the technical core from penetration by outsiders; .. it can point to its procedures as evidence or even establish new procedures to demonstrate responsiveness and concern.”
Hannaway 1993 p.151

At times of growth, confidence and trust tend to be higher than during recession and retrenchment, when declining resources lead to the need to reduce services and staff. Decentralisation or devolution is likely to flourish where the context inspires confidence in the potential merits of autonomy rather than where there is an external threat, whether this is at school or national level. The term “development” plan implies growth, which has led some schools and LEAs to prefer the more neutral term “change” plan.

8. ALTERNATIVE STRUCTURES

The fragmentation in the system that is developing as a result of the policy to promote grant maintained schools and the linked reduction in the role of the LEA will impact particularly heavily on primary schools. They stand to lose much more in the reduction of support facilities than the secondary phase because they do not have the scope to make economies of scale and general classroom teachers need a wider variety of curriculum support than secondary specialists. The headteachers responding to the Birmingham survey welcomed their greater independence under LMS but did not want to lose the LEA’s support services. If GMS in practice leads to such a loss, alternative approaches need to be considered.

Cordingley and Kogan (1993) are among those that have concluded that a number of educational needs would not be met under a system of free-standing schools. They conclude that local authorities could usefully adopt a

new role, that of “purchaser” rather than “provider” of services. LEAs would then need to be responsible for assessing local needs, deciding what services are required, making sure that they exist, and then contracting for those services with a number of providers, which would include schools. They would also be responsible for monitoring the performance of schools and ensuring that the needs of competing schools are reconciled with the rights and needs of pupils.

However, perceptions about which roles are irreducible have changed considerably during the drafting of legislation over the 1991-3 period. When Cordingley and Kogan were researching perceptions of “irreducible needs that must be performed by an entity between the school and central government” the three LEAs were identifying a variety of value statements, framework functions and delivery functions. In late 1992, they wrote:

“Only two needs met this test : provision of sufficient places and provision for those with special needs, although the need for an intermediary body to hear appeals or complaints against the school was also very strongly advocated elsewhere”

Cordingley & Kogan (1993) p. 29

At the time of writing the findings of the National Commission (1993) have just been published, and the suggestions for an alternative structure fit well with the evidence and conclusions of this thesis. The proposal that LEAs should be replaced with Education and Training Boards incorporates retaining the benefits of an accountable and strategic level between central government and schools. Bogdanor (1993) fears that this would result in separate accountability structures for different services, which began to be overcome with the development of local authorities under the 1902 Act. However, the impact of the present fragmentation of the education system into individual establishments overseen by un-elected quangos would be tackled. The deliberate and planned approach to linking the financial needs of the system to educational goals should be a radical basis for significant improvements.

9. CONCLUSIONS

In chapter 1 reference was made to the effect of the Newcastle and Taunton Commissions that preceded the 1870 Education Act. Mention has been made in this chapter of recent legislation and briefly to the recommendations of the National Commission, which also has the potential for being a catalyst for significant change. The changing and polemic nature of the issues result in the

following conclusions about strategic planning at area and school levels, based on analysis of data from a variety of sources.

The evidence from my national enquiry indicates that LEAs value the concept of school development planning and that the great majority have taken significant steps to help the schools in their area to plan more effectively. The evidence from the schools in the ESRC project and from the Birmingham survey suggests that schools vary considerably in the extent to which this help is used or valued.

The sense of urgency created by the reduction in the roles and responsibilities of the LEAs under the 1992 and 1993 legislation has emphasised the need for schools to become more self-reliant in areas in which they would have relied previously on their LEAs for expertise and resources.

If self-reliant schools plan effectively in supportive LEAs, the challenge facing policy-makers is to promote such conditions. Schools are impoverished if they lack the opportunities that can be generated where co-operation and support are promoted. They can be empowered by strategic planning that is sensitive to local needs.

The aim of the National Commission was "to promote a consensus about the needs of the future and to bring about the convergence of views which at present diverge." (p.viii). The need for such a political consensus to achieve the educational benefits for the nation is clear, and a confrontational style of party politics may not be the most effective way of determining much of the detail entailed in a radical improvement to the system.

The report of the National Commission and the background papers overlap with this thesis in several ways, and its conclusions, on the basis of both different and overlapping evidence, match closely. In particular there is a desire to link education services together, even if this involves a competitive element, rather than to encourage separatism. There is potential for the proposals in this report to be extended if the initial suggestions take root.

Four examples might illustrate how strategic planning could promote this :

- i. The proposals for the improvement in pre-school provision should be extended for both parents and children. This could involve parent education and support, from ante-natal classes throughout infancy and would involve closer liaison between professionals in the health, education and social services;

ii. The encouragement of innovation in learning should build on the expertise of people who are skilled in promoting attitude change among professionals. There is potential for more explicit links to be forged between applied research and the recommendations for personal development plans, staff development policy and school development plans. The value of applied research will increasingly be measured by the extent to which it is generally understood and implemented in schools, and the reduction of central resources for INSET and staff development is severely weakening the capacity of LEAs to support schools by employing inter-school advisory and development staff;

iii. The importance of multi-media libraries staffed by experts in handling a variety of forms of knowledge and technologies has much potential for expansion. Where community centres link library and IT resources with life-long learning and access to knowledge the whole age range can benefit. In addition, where the selection and loan of resources is linked with lesson planning and preparation, the quality of teaching and learning can derive immense benefits. In Northern Ireland schools and libraries are linked under the Education and Library Boards. Some community schools have shown that in practice much can be gained from such inter-professional links. The National Commission has made proposals for careers but not library services.

iv. Financial management may have gained prominence in schools relatively recently, but now that most systems are running smoothly the emphasis is on targeting priorities more effectively. The links between the Audit Unit and the proposed Department for Education and Training will need careful consideration in the process of gaining Treasury support for the proposals. The ambitions for political consensus within the Commission's report would be assisted by a task force with a strategic brief to lobby appropriate MPs, key Civil Servants and other specialists who could promote implementation of each proposal.

These four extensions to the proposals of the National Commission relate to the central conclusion of the thesis - that a cohesive approach to linking policy, strategy and tactics in the education system would benefit a holistic approach to educating children. The introduction of the national curriculum promoted continuity in one aspect of the system, but the introduction of grant-maintained schools and city technology colleges has tended to emphasise fragmentation.

The predilection of some politicians for showing short-term financial benefits

in education policy needs to mature into a deliberate and planned approach to deploying resources for improving quality at each level. Research into ways of making schools more effective and of developing management has provided many tools that are still under-used. It has also opened up further questions that need exploring. The links between accountability, policy-making, strategic planning and impact at operational level are vital. In the education system the time is right for a significant all-party initiative to improve each of these dimensions.

Sir Claus Moser's presidential address to the British Association for the Advancement of Science in 1990 was the springboard for the National Commission. He called for "an overall review .. which would be visionary about the medium and long-term future facing our children.." The Commission's report has the potential to lead to systemic change in the same way that Callaghan's Ruskin College speech in 1977 led to the 'great debate' and accelerated curriculum reform.

How can a new initiative capture the public imagination and gain the confidence of the electorate, MPs and the Cabinet; of the Treasury and each governmental department; of the teaching profession and all the other public services; of business and industry; of the whole range of journalists; of researchers and developers, and of parents, carers and children? The answer would seem to be that a mixture of types of action need to take place. Some actions will involve building on structures, processes and skills that already exist, while others will involve changes taking place in policies and resources, in organisations and attitudes.

The impact of such action in the longer term could be immense ..

"The standards of the state education service are central to the whole question of quality of life for the entire community. There are signs that at last this message is beginning to be understood."

Lawton 1992 p143

Chapter 16

HORIZONS

The Oxford Dictionary defines the horizon as “a line at which earth and sky appear to meet.” It is often difficult for an observer to define a precise horizon, as quantifiable factors such as their height and the focus of their vision need to be correlated with climatic and other local conditions. Yet the horizon is a perceived reality for the observer. The concept of the horizon is perhaps a term and a definition that can be equated loosely with the apparent meeting of several complementary but distinct elements in strategic planning. In this context, each horizon represents a horizontal line on a vertical continuum between two elements. If such a model seems simplistic and two-dimensional, a montage of these continua may help to portray conclusions that are multi-dimensional.

People react to the concept of strategic planning in a wide variety of ways as a result of both psychological and cultural influences. As individuals, people’s need for freedom within a structure varies according to several factors, such as their health, experience and confidence in a particular context. They may react against structures if they cannot justify the reasons for being constricted. In their cultural context their horizon between acceptance and rejection of others’ plans may even be affected, for example, by a lifetime’s acceptance of beliefs such as predestination or determinism.

In a small organisation such as a primary school, the psychological and cultural experiences of a few individuals affect not only the ethos of the school but also their attitudes to personal and organisational planning. The diversity of such experiences among the teaching and non-teaching staff, the governors, the parents and others such as LEA staff, has been valued in this country. For example employment legislation was designed to prevent discrimination by age, gender or race in appointments, and the development of understanding about processes of learning, teaching and managing have resulted in expectations about professionalism. Headteachers are expected to be effective and efficient in their leadership, regardless of whether they are male or female, artists or scientists, liberal or radical, unmarried or grandparent.

Teachers in many countries have grown up in a world that has seen the rise and fall of charismatic and bureaucratic leaders. Radical fascist and communist leaders that have over-planned have succumbed to wars and counter-revolutions. Some liberal democracies have under-planned and have struggled to avoid being overtaken by anarchy. As professionals and as citizens most teachers, parents and children have experienced strategic planning that is done to them by others in power. Resentment at constraints that seem illogical becomes coupled with disempowerment or dehumanisation. Yet to the planners, the same strategies will tend to seem justifiable, logical and for the greater benefit of a target group.

The accelerating pace of change in education in the last decade in this country has made it essential for all those involved in education to develop new skills. In one sense the horizon between the stereotypes of the laissez-faire and structuralist approaches is patently obvious. In the political and economic context of a society with a rising average age of population, the presumption is that voters seek stability and conformity rather than questioning individuality. Strategic planning is seen by some at either end of this continuum as promoting predictability and control.

However, a more positive perspective is to focus on strategic planning as a means to an end. A listener uplifted by a musical experience may be benefiting directly from the composer's planning and, indirectly, from that of the performers. Similarly, an inspiring lesson by an effective teacher may be the result of combining experience and planning. Yet the application of similar skills in management still carries overtones from other contexts for many in education. A rational approach to planning lies uncomfortably alongside the unpredictable reality of much of life in schools, particularly primary schools.

Elements both within the DFE and some schools fail to appreciate the way in which LEAs have also experienced such discontinuity for years, which has undermined their credibility with both groups. The Treasury's inability to modify the timing of finances for local government to match the pacing of change has made strategic planning by LEAs extremely difficult. The confrontational style of ministers leading change-orientated policies has compounded the issue. When the media are given the opportunity to report a ministerial statement at a party conference denigrating two professionally well-respected Chief Education Officers of large LEAs, such a style merely serves to undermine public confidence in the policies of both central and local government. (Brighouse 1993)

Whereas a large organisation such as a commercial company or an LEA may come to grief more spectacularly than a small organisation such as a primary school if it fails to plan, the potential benefits to be gained by strategic planning in small organisations can be more tangible. Small organisations such as primary schools essentially reflect the characteristics of a few key people. The skills of these people will determine how flexible they are in solving most of the problems that confront them, including planning. The human brain seeks regularities and structures to understand and interpret data. To generalise, some human behaviour in particular situations follows probabilities and is predictable. The “behaviour” of small organisations is similar, and seems to relate more closely to human characteristics than to those of larger, more abstract systems.

The evidence from research on school effectiveness and improvement has become an integral element of management development that is still spreading steadily across the consciousness of headteachers, classteachers and governors. The importance of a strategic approach to management development, professional in-service development and governor development was recognised under the GEST arrangements for partial funding. One of the criticisms of the pace of change since the 1988 Education Reform Act has been that such funding has increasingly had to be concentrated on ensuring that each initiative is understood and takes root. The ability for strategic planning at LEA and school level to take account of balancing maintenance and development has thus been increasingly restricted.

The policy changes in the last decade have included :

“ the introduction of vocational education, the reform of the examining system at 16, major changes in the ways schools are governed, the introduction of a minimum number of contractual teaching hours in a year, the introduction of a national Curriculum for the first time ever, the introduction of new tests for all 7, 11, 14 and 16 year olds, the introduction of schools managing their own budgets, the increasing use of ‘on-the job’ training for teachers and increasing emphasis on teacher appraisal and assessment ... Moreover, for two years ... teachers were locked in a major pay dispute with the government as a result of which the government removed teachers’ pay negotiating rights. This was done by a government which professes to believe in free market economics and teachers are the only large group of workers to be treated in this way.”

Harber 1992 p.163

The ability of teachers to make decisions has been significantly reduced, and in some cases Harber reports that this has been accompanied by an increase in antagonism towards school management and a reduction in lesson planning to a minimum because of increased workload.

The cumulative impact of the changes has varied across schools and LEAs, and the impression from the surveys considered in chapters 6 to 8 is that those areas that are actively involved in school development planning are finding that they are better able to prioritise and handle multiple change than others. Headteachers are developing styles of planning that are different from the contrasting linear, bureaucratic and contingency models in other organisations.

In taking a variety of initiatives at a time when resources to support implementation are limited, central government has gained the high ground and discouraged a variety of national and local experimentations that had gradually developed between the mid 1960s and the mid 1980s. Gaining the advantage is arguably the fundamental requirement in any confrontational military or political situation. The business environment also illustrates this, for example the urge for innovation among conservative managers in a closely regulated French bureaucracy 30 years ago was described thus :

The directors .. adopt the strategy of technological change...the only possible way to increase their own power and put the technical engineers back in their subordinate place is to impose large-scale changes within the plant. They are in favour of technical progress not for ideological reasons, but for strategic ones."

Crozier (1964)

Within the Conservative party, the consensus politics of the previous 30 years changed into the confrontation of 'wet and dry' and later 'left and right' tendencies. Margaret Thatcher's style of leadership encouraged ministers to adopt proactive styles that would meet with her approval and so ensure their own survival. The prime locus of developmental initiatives shifted from the school, to an increasing partnership between school and LEA, to increasing links between the DES and LEA, to increasing links between the DES and the school together with legislation to reduce the powers and responsibilities of the LEA.

With central government defining policy and schools implementing at tactical level, the tension is increasing for the strategic filling in the sandwich. The government has the formal advantage of legislation, as has been shown in three Education and Local Government Acts in 1992 and 1993. The schools have the informal advantage of determining most of the actual experiences of the youngsters. The rump of the LEAs and the agencies concerned with inspecting and advising can push and prod with varying effect on decision-making.

The tragedy is not necessarily the decline of the LEAs, or the restructuring of local government in the county authorities. The dismantling of sub-national strategic planning, co-ordination and networking has been preceded in many areas by a waste of scarce resources involving the abrupt loss and dispersal of a pool of expertise developed over many years. Asset stripping is only justifiable in a public service if in retrospect the long term benefits prove to outweigh the short term losses. The professional diaspora of LEA inspectors, advisers and officers in the early 1990s represents an expensive waste of experience at the strategic level. Meanwhile central government spending on education is planned to increase from £3.70 bn in 1992-3 to £5.95 bn in 1993-4.

Reviewing the successful introduction of school development planning in primary schools has provided evidence that LEAs and schools together achieved a significant improvement in an aspect of management that enabled many of the government's policy initiatives to take root in the schools. Turning to the future, how could the impact of future central government initiatives in schools be enhanced? How could the quality of school improvement initiatives generated within a school or group of schools be raised? How could the headteachers, classteachers and researchers regain that professional confidence that empowers education in some other cultures? A revitalisation of the strategic level could contribute to each of these issues, but continuing fragmentation will lead to a strategic vacuum. Since coming to this conclusion I am most encouraged that the National Commission strongly recommends a strategic initiative. Whether revitalisation follows the proposals of the National Commission or other variants of it, a significant initiative would improve the navigational aids that help schools chart their courses towards clearer horizons.

Appendix A : part 1

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Authors / page numbers

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ACSTT / INIST (1976)	23	Cambridgeshire LEA (1982)	128
ACSTT / INIST (1978)	25	Cambridgeshire LEA (1990)	129
AGIT (1988)	217	Cambridgeshire LEA (1991)	209
Adler M (1993)	227	Cambridgeshire LEA (1992)	141
Agayo, R. (1990)	60	Cambridgeshire LEA (1993)	141
Alexander R, Rose J & Woodhead C (1992)	48	Cave R (1970)	165
Alexander, S. (1980)	180	Chitty C & Simon B (1993)	239
Arnott M., Bullock, A., & Thomas, H. (1992)	131 - 140, 216, 254, 255	CIPFA (1988)	15, 50, 191
Audit Commission (1986)	43	CIPFA et al (1988)	219
Audit Commission (1989)	246	Clift P, Nuttall D, McCormick R (1987)	27
Audit Commission (1991)	223, 229	Clift, P & Turner, G (1987)	28
Audit Commission (1992a)	52, 189-90	Clift, P (1987)	27
Audit Commission (1993a)	52, 225	Coombs, P (1968)	186-7
Audit Commission (1993b)	130	Coopers and Lybrand (1988)	52, 129, 188
Austin G & Reynolds D (1990)	47	Comer, J. (1992)	167
Baron G & Howell, D (1968)	215	Conservative Party (1992)	181
Becher, T. & Maclure, M. (1978)	216	Cordingley P. & Kogan M. (1993)	254, 255
Beresford C (1974)	22	Corrick M (1993)	232
Beresford C & Dodd C (1977)	22	Coventry CEDC (1990)	217
Beresford C (1978)	153	Crozier M (1964)	262
Beresford C & Bridges D (1980)	22, 26	Cuban L (1988)	172
Beresford C & Goddard D (1982)	22	Dalin P (1979)	24
Beresford C (1991)	209	Dalin P & Rust V (1983)	42
Bettis RA & Donaldson L (1990)	236	Dalton, J. (1993)	231
Bishop of Ely (1992)	234	Dancy J (ed) (1980)	162, 172
Bogdanor V (1993)	255	DES (1987 - 91)	207
Bolam R (1977)	24	DES (1967)	18, 21, 164, 214
Bolam R (1982)	25	DES (1972)	21, 22
Bolam R (1993)	247	DES (1976)	40
Boyne GA (1990)	155	DES (1977a)	160-1, 215
Bradley, H (1991)	33	DES (1977b)	40, 55
Briault E. (1974)	19	DES (1978)	26
Brighouse T & Tomlinson J (1991)	52	DES (1979a)	26
Brighouse T (1993)	260	DES (1979b)	20
Brimer A, Madaus G, Chapman B,		DES (1980)	20, 21
Kellaghan T & Wood R (1978)	40	DES (1981)	21
Brookover W & Lezotte L (1977)	41	DES (1985a)	15, 16
Brooksbank K & Anderson K (1989)	13, 14	DES (1985b)	31, 42, 43
Brown, S. & Earley, P. (1990)	208	DES (1986)	32, 151
Brown S. & Riddell S. (1991)	155	DES (1987)	16
Burdett F (1988)	15	DES (1988a)	16, 33, 129, 152, 161, 183, 184, 218, 226, 246
Bush T (1993)	249	DES (1988b)	49, 129, 219
Bush T, Coleman M, Glover D (1993)	249	DES/COI (1988c)	216
Cadbury Foundation (1992)	234	DES (from 1988d)	219
Caldwell B & Spinks J. (1988)	46	DES (1989a)	50, 223
Caldwell B & Spinks J (1992)	240	DES (1989b)	36, 218

DES (1989c)	50	Hargreaves, D & Hopkins D (1991)	38, 54, 153, 161, 166, 169-70, 173,191
DES (1989d)	217, 227	Harland, J. (1991)	207
DES (1989e)	38,150, 218, 219	Harland, Janet (1993)	217
DES (1990a)	47,218, 219	Harris, D (1993)	230
DES (1990b)	50	Harvey-Jones, J (1988)	1
DES (1990c)	217,218	Havelock R (1969)	23
DES (1991a)	227	Havelock R (1973)	24
DES (1991b)	37, 38, 167	Health and Safety Commission (1992)	226
DES (1991c)	158, 164	Henderson, D. (1992)	210
DES (1991d)	37	Hinds, T. (1984)	128
DES (1992a)	48	Hinds, T. (1992)	185
DES (1992b)	174	Hofstede G (1980)	237
DES (1992c)	250	Holly P. James T, Young J (1987)	31
DES (1992d)	249	Holly P & Southworth G (1989)	161
DFE (1993)	225	Holt, M (1993)	53,54,60,61,188,
Dearing (1993)	224	Hopkins D (ed.) (1986)	45, 208
Downes P. (ed) (1988)	129	Hopkins D (ed)(1987)	25, 167
Doyle L. (1993)	253	Hopkins D (1990)	44, 45
Drewnowski J. Subramanean M.,(1970)	187	Hopkins D (1991)	54, 172, 178
Drucker P (1969)	54	House of Commons (1986)	30
Drucker P (1977)	60	Howell D (1989)	12
Dunn, J (ed)(1993)	213	Hutchinson D (1993)	51
Eaglesham E (1967)	214	ILEA (1977)	27,28
Edmunds R (1979)	41	ILEA (1983)	42
Elliott G (1982)	26	ILEA (1984)	23, 29,30
Elliott J., Bridges D. Ebbutt D, Gibson R,Nias J.(1981)	216	ILEA (1985)	29, 151
Elliott, J. (1979)	216	Institute of Education (1992)	235
Fitzgibbon (1991)	52	Institute of Education (1993)	235
Fombrum C & Shanley M (1990)	237	Jesson D & Gray J (1991)	51
Fraser, B (1989)	45	Jesson D (1992a)	51
Fullan M (1985)	39, 42, 191	Jesson D (1992b)	51
Fullan M (1988)	155, 171	Johnstone, J.N. (1976)	187, 188
Fullan M & Stiegelbauer, S. (1991)	39, 48,153-4,157,168,171,178,191	King J & Evans K (1991)	54
Fullan M & Miles M (1992)	48, 185	Kinsley Lord (1989)	210
Gipps, C & Goldstein, H (1983)	41	Knight B (1993)	239
Gipps, C (1993)	247	Labour Party (1992)	182
Goddard D & Leask M (1993)	42	Lakin J (1990)	190
Goodacre, E (1970)	215	Lawton, D (1987)	16
Gouldner (1980)	236	Lawton, D. (1992)	258
Gray J (1990)	51,52	Lello, J. (ed) (1979)	215
Gray J, Jesson D & Sime N (1990)	51	Lezotte L (1989)	41
Gray J. & Jesson D.(1990)	51,191	Liberal Democratic Party (1992)	180, 182
Gray J, Jesson D, Goldstein H & Hedger K (1993)	250	Louis K (1989)	157
HMI (1991)	53	Louis K. & Miles M.B. (1990)	48, 163, 174
HMI (1992)	141	MacBeath J, McCaig E, Thomson, B (1993)	101, 219
HMSO (1968)	164	Macdonald B & Rudduck J (1971)	23
Hackett, G (1992)	202	Maclure, J (1973)	8
Handy, C. & Aitken, R. (1986)	163, 238	McKeon R (1952)	53
Hannaway, J (1993)	254	McLaughlin M (1976)	23
Harber, C (1992)	261	McMahon A and Bolam R (2nd ed.1990)	16
Hardie, B (1991)	226	McMahon A et al (1984)	28, 42, 44
Hargreaves,D., Hopkins D. Leask,M, Connolly J & Robinson P (1989)	63	Mann J (1979)	7,9,12
		Marks & Spencer (1993)	234
		Miles M (1986)	44

Montgomery of Alamein (1968)	1	Rudduck, J. (1981)	208
Morrish, I. (1970)	6	Rudduck, J (1991)	236, 240
Mortimore, P, Sammons P, Stoll L & Ecob R (1986)	45	Rumbold, A (1989)	50, 219
Mortimore P, Sammons P, Stoll L, Lewis D & Ecob R (1988)	45, 46,162	Rutter M, Maughan B, Mortimore P, & Ouston J (1979)	34,, 41, 162
Mortimore P (1991a)	41, 55	Sammons, P (1993a)	56
Mortimore, P (1991b)	39, 45	Sammons, P Nuttall, D & Cuttance, P (1993b)	51,56
Mowlam, M. (1993)	239	SCIA (1990)	52, 153
Murgatroyd, S. & Morgan, C. (1993)	57, 60, 229,236	SOED (1991)	100, 158, 162
National Commission (1983)	43	SOED / HMI (1991)	100,101,158,189
National Commission (1993a)	256 - 8, 263	SOED / HMI (1992a- d)	100,101,158,189,241
National Commission (1993b)	227	SOED (1992e)	101
NCC (1989)	36	SOED / Audit Unit (1992f)	100
NUT (1993)	226	SOED / R & I Unit (1993a)	100, 219
National Trust (1993)	234	SOED / Audit Unit (1993b)	101
Newsam, P. (1992)	208	SOED / Audit Unit (1993c)	101
Nisbet, R. (1980)	41, 178	SOED / MVA consultancy (1993d)	101
Nuttall D et al (1987)	27	SOED / Audit Unit (1993e)	101
Nuttall D et al (1989)	46,47, 51, 189	SOED / QIE (1993f)	101
OECD / CERI (1987)	49	SOED (1993g)	101
OECD / CERI (1992)	189	Scheerens J (1992)	189
OFSTED (1992)	191	Schools Council (1968)	208
OFSTED (1993a)	130, 191, 249	Schools Council (1974)	59
OFSTED (1993b)	235	Schools Council (1975)	20
Oppenheim (1992)	65	Seebohm (1968)	164
Oxfordshire (1979a)	27	Sheffield LEA (1991)	129
Oxfordshire (1979b)	27	Simon B (1992)	7
Patten J (1993)	223,252	Stenhouse L (1984)	236
Pearce J (1986)	9, 13, 20	Stenner A (1986)	34, 128
Pollitt, C. (1987)	52	Stevenson, R.B. (1986)	45
Potter D & Powell G (1992)	229	Stewart J (1993)	239
Pryke, R (1993)	251 252	Stoll, L. (1991)	162, 167
Purkey, S. & Smith, M. (1983)	45, 191	Stoll, L (1992)	39
Purkey, S. & Smith, M. (1985)	39, 42, 45, 157	Taylor F (1895)	53, 58
Ranson, S. (1992)	180	Thody, A (1992)	229
Ranson, S (1993a)	227	Thomas,S., Nuttall,D.,Goldstein,H. (1992)	52,55, 56
Ranson, S (1993b)	227	Thomas,S.,Goldstein,H & Nuttall D (1993)	52,55, 546
Ree H (1973)	11	Tizard, B, Blatchford, P, Burke, J, Farquhar, C & Plewis, I (1988)	46
Reynolds D (1982)	41	Van Velzen W et al (1985)	44
Reynolds D (1988)	46	Van Velzen W (1987)	25
Reynolds D & Creemers (1990)	45	Walford G (1992)	227
Riddell S & Brown S (1991)	156, 163, 164, 169	Wallace M (1992)	239
Riley, K. (1990)	49	Weber (1921)	41, 238
Riley, K. (1992)	55, 189	West Sussex LEA (1991)	129
Robson, M. (1982)	59	Wheeler, D (1967)	23
Rosenholtz, S. (1989)	46, 145	Willms J (1992)	101,102
Roth G & Schluchter W (1979)	238	Wilson, D (1992)	58, 59, 60, 237, 238
Rowntree Trust (1986)	183	Winter G (1977)	15
Rowley, M. (1992)	46	Wragg E (1992)	34

Appendix B

Summary of responses to the national survey of LEAs.

The questionnaire follows as appendix D

4.1

Does your LEA have a policy that all primary schools should have school development plans ?

a) Yes

b) No

No response to this question

		ENGLAND				WALES				SCOTLAND	NORTHERN IRELAND			UNITED KINGDOM		
		Counties & Islands		Metro Districts		London Boroughs								Total		
N	%	N	%	N	%	N	%	N	%	N	%	N	%	N	%	%
41	100	36	100	33	100	8	100			12	100	5	100	135	100	
41	100	35	97	33	100	7	88			6	50	4	80	126	93	
0	0	1	3	0	0	1	22			6	50	0	0	8	6	
												1	20	1	1	

4.2

If there is such a policy,
when was it first implemented ?

- a) 1991 - 1992
- b) 1990 - 1991
- c) 1989 - 1990
- d) 1988 - 1989
- e) before 1988

No response to this question

		ENGLAND						WALES				SCOTLAND			NORTHERN IRELAND			UNITED KINGDOM		
		Counties & Islands		Metro Districts		London Boroughs												Total		
N	%	N	%	N	%	N	%	N	%	N	%	N	%	N	%	N	%	N	%	
41	100	36	100	33	100	8	100					12	100	5	100	135	100			
7	17	0	0	2	6	0	0					3	25	2	40	14	10			
8	20	14	39	15	46	2	25					3	25	3	60	45	33			
14	34	17	47	8	24	3	38					0	0	0	0	42	31			
8	20	4	11	5	15	2	25					0	0	0	0	19	14			
3	7	1	3	2	6	0	0					1	8	0	0	7	5			
1	2	0	0	1	3	1	12					5	42	0	0	8	6			

4.3

What proportion of primary schools have school development plans for 1991 - 1992 ? (approximately)

- a) All, or almost all
- b) Three - quarters
- c) Half
- d) One quarter
- e) None of them

No response to this question

		ENGLAND				WALES				SCOTLAND		NORTHERN IRELAND		UNITED KINGDOM	
		Counties & Islands		Metro Districts		London Boroughs								Total	
N	%	N	%	N	%	N	%	N	%	N	%	N	%	N	%
41	100	36	100	33	100	8	100	12	100	5	100	135	100		
35	85	33	92	26	79	6	75	3	25	0	0	103	76		
4	10	3	8	5	15	1	12	0	0	2	40	15	11		
1	2	0	0	2	6	0	0	0	0	0	0	3	2		
1	2	0	0	0	0	0	0	5	42	3	60	9	7		
0	0	0	0	0	0	1	12	1	8	0	0	2	2		
								3	25			3	2		

5.1

Has your LEA provided guidance to primary schools about the content or process of school development planning in primary schools ?

a) Yes

b) No

No response to this question (none)

		ENGLAND				WALES				SCOTLAND		NORTHERN IRELAND		UNITED KINGDOM	
		Counties & Islands		Metro Districts		London Boroughs								Total	
N	%	N	%	N	%	N	%	N	%	N	%	N	%	N	%
41	100	36	100	33	100	8	100	12	100	5	100	135	100		
41	100	36	100	30	91	8	100	10	83	5	100	130	98		
0	0	0	0	3	9	0	0	2	17	0	0	5	4		

5.2

Is there an expectation that any of the following issues should be included ?

	ENGLAND						WALES			SCOTLAND			NORTHERN IRELAND			UNITED KINGDOM		
	Counties & Islands			Metro Districts			London Boroughs									Total		
	N	%		N	%		N	%		N	%		N	%		N	%	
	41	100		36	100		33	100		12	100		5	100		135	100	
a) Curriculum	41	100		36	100		33	100		9	75		5	100		132	98	
b) Staff	41	100		36	100		33	100		8	67		5	100		131	97	
c) Organisation	38	93		34	94		32	97		7	58		5	100		121	90	
d) Finance	36	88		31	86		28	85		5	42		5	100		112	83	
e) Premises	31	76		29	81		27	82		4	33		5	100		102	76	
f) Context	33	81		25	69		25	76		7	58		5	100		100	74	
No response to this question										3	25					3	2	

6.1

Is there an LEA policy that any of the following should be involved in the planning process with the Head ?

- a) Teaching staff
- b) Deputy Head
- c) Governors
- d) Inspector / Adviser
- e) Non-teaching staff
- f) LEA officer
- g) Parents
- h) Pupils
- i) Other
- j) None

No response to this question

		ENGLAND						WALES			SCOTLAND			NORTHERN IRELAND			UNITED KINGDOM		
		Counties & Islands		Metro Districts		London Boroughs		N	%	100	N	%	100	N	%	100	Total	N	%
		N	%	N	%	N	%												
		41	100	36	100	33	100	8		100	12	100		5	100		135	100	
a)	Teaching staff	37	90	32	89	30	91	8		100	9	75		5	100		121	90	
b)	Deputy Head	36	88	31	86	31	94	7		88	8	67		5	100		118	87	
c)	Governors	38	93	32	89	29	88	7		88	2	17		5	100		113	84	
d)	Inspector / Adviser	29	71	30	83	22	67	6		75	8	67		2	40		97	72	
e)	Non-teaching staff	26	63	15	42	18	55	0		0	3	25		0	0		62	46	
f)	LEA officer	12	29	10	28	9	27	2		25	4	33		4	80		41	30	
g)	Parents	13	32	7	19	14	42	0		0	3	25		0	0		37	27	
h)	Pupils	3	7	3	8	7	21	0		0	1	8		0	0		14	10	
i)	Other	3	7	0	0	1	3	0		0	0	0		0	0		4	3	
j)	None	1	2	1	3	0	0	1		13	0	0		0	0		3	2	
No response to this question		1	2	1	3	1	3	0		0	3	25		0	0		6	4	

6.2

Do the plans have to be approved by the LEA ?

a) Yes

b) No

No response to this question

ENGLAND										WALES			SCOTLAND			NORTHERN IRELAND			UNITED KINGDOM		
Counties & Islands				Metro Districts				London Boroughs													
N	%			N	%			N	%												
41	100			36	100			33	100											135	100
11	27			5	14			9	27			6	50			1	20			38	28
27	66			30	83			23	70			1	17			4	80			87	65
3	7			1	3			1	3			1	33			0	0			10	7

Does the LEA collect the plans ?

a) Plans not required by the LEA

**c) Complete plans filed
and available for LEA reference**

(n.b. the figures in row d are also included in rows b and c)

No response to this question

7.2

Does the LEA analyse the plans?

a) No analysis

b) Partial analysis

c) Extensive analysis

No response to this question

		ENGLAND				WALES				SCOTLAND		NORTHERN IRELAND		UNITED KINGDOM	
	Counties & Islands	Metro Districts		London Boroughs										Total	
		N	%	N	%	N	%	N	%	N	%	N	%	N	%
		41	100	36	100	33	100	8	100	12	100	5	100	135	100
a)	No analysis	2	5	3	8	1	3					1	20	7	5
b)	Partial analysis	21	51	24	67	18	55	6	75	4	33	2	40	75	56
c)	Extensive analysis	17	42	9	25	13	39	2	25	4	33	1	20	46	34
	No response to this question	1	2			1	3			4	33	1	20	7	5

7.3

Are particular aspects analysed ?

	ENGLAND						WALES				SCOTLAND			NORTHERN IRELAND			UNITED KINGDOM		
	Counties & Islands			Metro Districts			London Boroughs										Total		
	N	%	100	N	%	100	N	%	100		N	%	100	N	%	100	N	%	100
	41			36			33				12			5			135		
a) National Curriculum	34	83		27	75		26	79		8	100	3	25		3	60	101	75	
b) Other curriculum	21	51		18	50		22	67		5	63	4	33		3	60	73	54	
c) Planning for GEST bid	30	73		25	69		26	79		4	50	1	8				86	64	
d) Other staff development	28	68		25	69		25	76		6	75	6	50		3	60	93	69	
e) Financial planning	19	46		17	47		14	42		4	50	2	17		2	40	58	43	
f) Other organisational	12	29		12	33		12	36		1	13	4	33		2	40	43	32	
g) Premises	12	29		8	22		7	21		2	25	3	25		1	20	33	24	
h) Context	10	24		6	17		10	30		2	25	3	25		2	40	33	24	
No response to this question	4	10		1	3		2	6				5	42		2	40	14	10	

8.1

Do LEA staff refer to school development plans and / or planning processes in INSPECTIONS ?

a) Plans

Often

Occasionally

Never

No response to this question

b) Planning Processes

Often

Occasionally

Never

No response to this question

ENGLAND										WALES			SCOTLAND			NORTHERN IRELAND			UNITED KINGDOM		
Counties & islands			Metro Districts			London Boroughs												Total			
N	%		N	%		N	%		N	%		N	%		N	%		N	%		
41	100		36	100		33	100		8	100		12	100		5	100		135	100		
36	88		30	83		32	97		4	50		4	33		1	20		107	79		
3	7		4	11		1	3		1	13		0	0		0	0		9	7		
2	5		0	0		0	0		2	25		1	8		0	0		5	4		
0	0		2	6		0	0		1	13		7	58		4	80		14	10		
33	81		24	67		25	76		2	25		3	25		1	20		88	65		
3	7		5	14		5	15		1	13		0	0		0	0		14	10		
1	2		0	0		0	0		1	13		1	8		0	0		3	2		
4	10		7	19		3	9		4	50		8	67		4	80		30	22		

Do LEA staff use school development plans and / or refer to planning processes as part of their MONITORING of schools

300

8.3

Do other LEA staff use school development plans as part of their SUPPORT of schools ?

a) Plans

Often

Occasionally

Never

No response to this question

b) Planning Processes

Often

Occasionally

Never

No response to this question

		ENGLAND						WALES			SCOTLAND			NORTHERN IRELAND			UNITED KINGDOM		
		Counties & Islands		Metro Districts		London Boroughs													
N	%	N	%	N	%	N	%	N	%	N	%	N	%	N	%	N	%	N	%
41	100	36	100	33	100	8	100									12	100	5	100
26	63	16	44	15	45	5	63				6	50	5	100		73	54		
11	27	19	53	15	45	3	37				0	0	0	0		48	36		
2	5	1	3	3	9	0	0				1	8	0	0		7	5		
2	5	0	0	0	0	0	0				5	42	0	0		7	5		
22	54	13	36	11	33	2	25				4	33	2	40		54	40		
7	17	12	33	11	33	1	12				0	0	0	0		31	23		
3	7	2	6	4	12	0	0				1	8	0	0		10	7		
9	22	9	25	7	21	5	63				7	58	3	60		40	30		

Appendix C

Guidelines and other materials to support school development planning, produced by LEAs and sent in response to the national survey request in 1992, (other than those listed in appendix A)

Counties in England

Bedfordshire	A Guide to Audits
Berkshire	Guidelines for SDPs 1992-3 (& county programme)
Cambridgeshire	Learning Now - the Cambridgeshire experience of school development planning
Cumbria	The SDP : a primary school's approach (& 4 background papers)
Derbyshire	Development plans 92-3 : primary
E.Sussex	Primary school management plans : guidelines for development
Essex	Planning for school improvement Planning for School Development (1989)
Hampshire	The Primary SDP (& leaflet on Gov Tr & letters on NC planning
Kent	SDP : audit of area practice ; Planning Ahead 1992-3
Leics	Development planning : supplement to LEA guidance Jan 91
Lancs	Guidelines for Primary School Evaluation 1992-3 - an appendix to the county instrument
Norfolk	Management planning and action planner
Northants	First steps in SDP in primary schools SDP : guidelines for your school (& examples of action planning)
Notis	School management planning 92/5 Development programme 91/2
Oxon	Institutional planning and supported self-evaluation SDP paper by primary advisers on SDPs (& 2 other materials)
Salop	Reviewing the Primary school SDP for 1992-3
Surrey	Performance indicators and SDPs
Surrey	School development plans - local management of Surrey schools
Warwickshire	Morrison ,M. (1990) Introducing school development plans : case studies of process and product
West Sussex	Support materials booklet on DP
Wiltshire	Working together - planning school development

Wales

Clwyd	Guidelines for SDP in Clwyd
Gwynedd	Education Management Plan
Powys	Good school management
W.Glam	Framework for SDPs

Metropolitan Districts

Birmingham	Development planning for quality in Birmingham schools
Bradford	A partnership in planning for quality & evaluation, report & programme papers
Bury	Framework for development plans
Liverpool	Primary curriculum planning & 4 other papers Support materials for SDP review.
Oldham	The SDP : further advice 1992
Sefton	Guidelines for SDP Guidelines for staff development
Sheffield	Commentary on DES advice : planning for school development Sheffield Curriculum Initiative : School School development planning under LMS : a guide for schools
Solihull	Leaflet Educ 168
Wirral	The school plan; Developing a plan for the whole school

London Boroughs

Barking & Dagenham	School Planning (& newsletter, INSET materials & resource packs for schools
Barnet	Guidelines for development planning
Bexley	Management guidelines for SDP
Kingston	proformas
Lewisham	7 documents
Richmond	A new look at SDPs; Development planning - the next round
Wandsworth	Annual School Review section from inspection handbook

Scotland

Dumfries & Galloway	Guidelines for the production of SDPs in primary schools
Grampian	Planning for change (& 2 other papers)
Scottish Office Education Department (1992) publications listed in appendix A	

Northern Ireland

North Eastern ELB	Preparing school development plans preparing action plans (primary)
Department of Education, Northern Ireland, Inspectorate Evaluating Schools (1992) General guidance on the operation of LMS (Circular 1990/20)	

Appendix D

Enquiry form sent to all Local Education Authorities

**The Impact of School Development
Plans in Primary Schools**

Project Directors Professor Peter Mortimore
Barbara MacGilchrist
Project Officer Jane Savage
Project Associate Charles Beresford

Telephone 071 - 612 - 6220
Fax 071 - 612 - 6600

20 BEDFORD WAY
LONDON WC1H 0AL
Telephone 071-580 1122

Director SIR PETER NEWSAM
Deputy Director PROFESSOR PETER MORTIMORE

THE IMPACT OF SCHOOL DEVELOPMENT PLANS IN PRIMARY SCHOOLS

This is a new research project funded by the Educational and Social Research Council. We are carrying out a survey to provide information about the ways in which all Education Authorities in the United Kingdom view the process of primary school development planning.

We have written to your Chief Officer, who has kindly indicated willingness that your Authority should be included. The results of this general survey will provide a context for the depth studies that we are carrying out in a small number of schools.

We would value your comments on primary school development planning, whether your Authority has a well developed system or no activity in this area at all.

However, the team carrying out this research is very aware of the pressures on your time, and have designed the enquiry form with this in mind.

- a) The first three questions ask for basic data about the Authority
- b) The next three questions ask about policy and practice - whether primary schools have development plans, what such plans include, and who is involved in the planning process.
- c) Two questions then ask about how the Authority uses the plans,
- d) A further question then asks about locally produced material.
- e) Finally, there is space for you to add personal comments if you wish.

If you find that any of the questions are inappropriate to your situation, or require further explanation, please note this in the space under each question. Notes to reduce possible ambiguities are attached as a final page.

Responses from individual Authorities are confidential to the research team and will not be identifiable in reports of outcomes. In return for your help we will provide information about the progress of the project to Authorities indicating that they would be interested at the end of the enquiry form.

We would be grateful if you could return the completed form as soon as is convenient and before 6th March 1992. A pre-paid envelope for your reply is enclosed. Thank you in anticipation of your help with this.

*Charles Beresford,
ESRC Project on the Impact of School Development Planning in Primary Schools,
INSET Office, Institute of Education, University of London,
20 Bedford Way, London WC1H 0AL*

REPLY from _____ Education Authority

Respondent:

Name	
Role	
Address	
Postcode	
Telephone	Fax

Please tick or insert numbers in each box as appropriate :

1. LOCATION	England	<input type="checkbox"/>	1.1
	Wales	<input type="checkbox"/>	1.2
	Scotland	<input type="checkbox"/>	1.3
	Northern Ireland	<input type="checkbox"/>	1.4
	Channel Islands	<input type="checkbox"/>	1.5
2. TYPE OF LEA	Region (as in Scotland)	<input type="checkbox"/>	2.1
	County	<input type="checkbox"/>	2.2
	Metropolitan District	<input type="checkbox"/>	2.3
	Outer London Borough	<input type="checkbox"/>	2.4
	Inner London Borough	<input type="checkbox"/>	2.5
3. NUMBER OF SCHOOLS	Nursery and Primary	<input type="checkbox"/>	3.1
	Middle deemed Primary	<input type="checkbox"/>	3.2
	Special	<input type="checkbox"/>	3.3

4. PREVALENCE

Does your LEA have a policy that all primary schools should have School Development Plans?

Yes	<input type="text"/>	4.1
No	<input type="text"/>	4.2

If so, when was this policy first implemented?

91/92	<input type="text"/>	4.3
90/91	<input type="text"/>	4.4

89/90	<input type="text"/>	4.5
88/89	<input type="text"/>	4.6
before 88	<input type="text"/>	4.7

What proportion of primary schools have School Development Plans for 1991-2?
(approximately)

All, or almost all	<input type="text"/>	4.8
Three-quarters	<input type="text"/>	4.9

Half	<input type="text"/>	4.10
One quarter	<input type="text"/>	4.11
None of them	<input type="text"/>	4.12

5. CONTENT

Has your LEA provided guidance to primary schools about the content or process of school development planning in primary schools?

Yes	<input type="text"/>	5.1
No	<input type="text"/>	5.2

Is there an expectation that any of the following issues should be included ?

(This is expanded in the background notes attached at end)

Curriculum	<input type="text"/>	5.3
Staff	<input type="text"/>	5.4
Finance	<input type="text"/>	5.5

Organisation	<input type="text"/>	5.6
Premises	<input type="text"/>	5.7
Context	<input type="text"/>	5.8

6. INVOLVEMENT IN PLANNING

Is there an LEA policy that any of the following should be involved in the planning process with the Head?

Deputy Head	<input type="text"/>	6.1
Teaching Staff	<input type="text"/>	6.2
Non-teaching staff	<input type="text"/>	6.3
Governors	<input type="text"/>	6.4
Parents	<input type="text"/>	6.5

Inspector/Adviser	<input type="text"/>	6.6
LEA officer	<input type="text"/>	6.7
Pupils	<input type="text"/>	6.8
Other	<input type="text"/>	6.9
None	<input type="text"/>	6.10

Do the plans have to be approved by the LEA?

Yes

☐

6.11

No

☐

6.12

7. ANALYSIS

Does the LEA collect the plans?

Plans not required by the LEA

☐

7.1

Summary of priorities required by LEA

☐

7.2

Complete plans filed & available for reference by LEA

☐

7.3

Does the LEA analyse the plans?

No analysis

☐

7.4

Partial analysis

☐

7.5

Extensive analysis

☐

7.6

Are particular aspects analysed?

National Curriculum planning

☐

7.7

Financial planning

☐

7.11

Other curriculum

☐

7.8

Other organisational

☐

7.12

Planning for GEST bid

☐

7.9

Premises

☐

7.13

Other staff development

☐

7.10

Context

☐

7.14

8. USE OF SCHOOL PLANS BY LEA STAFF

Do LEA staff refer to SD plans and / or planning processes in inspections?

Often

Plans

☐

8.1

Planning Processes

☐

8.4

Occasionally

☐

8.2

☐

8.5

Never

☐

8.3

☐

8.6

Do LEA staff use SD plans and / or refer to planning process as part of their monitoring of schools?

Often

☐

8.7

☐

8.10

Occasionally

☐

8.8

☐

8.11

Never

☐

8.9

☐

8.12

Do other LEA staff use SD plans as part of their support to schools?

Often

☐

8.13

☐

8.16

Occasionally

☐

8.14

☐

8.17

Never

☐

8.15

☐

8.18

9. WRITTEN MATERIALS

Please indicate if your LEA has produced any Guidelines or INSET materials for Primary Schools on :

	Guidelines	INSET materials
Planning to introduce the National Curriculum	<input type="checkbox"/> 9.1	<input type="checkbox"/> 9.2
Planning linked with GEST priorities for INSET	<input type="checkbox"/> 9.3	<input type="checkbox"/> 9.4
Planning linked with other Staff Development priorities	<input type="checkbox"/> 9.5	<input type="checkbox"/> 9.6
School Financial Planning linked with LMS	<input type="checkbox"/> 9.7	<input type="checkbox"/> 9.8
School Development Plans in Primary Schools	<input type="checkbox"/> 9.9	<input type="checkbox"/> 9.10
School Development Planning across phases	<input type="checkbox"/> 9.11	<input type="checkbox"/> 9.12
Other recent and relevant publications (<i>please identify</i>)	<input type="checkbox"/>	<input type="checkbox"/>

The Project would welcome other information concerned with the effectiveness of development planning, particularly evaluation reports, papers, or articles produced for journals.

Donations of copies would be gratefully received where this is feasible,

10. PERSONAL VIEWS

The questions above may have constrained the type of answers that were appropriate to give on behalf of your LEA. In this final section we would welcome your own views and judgements about school development planning. These will be treated anonymously unless you express the wish to have the thoughts attributed to you. Please reply on a separate sheet if you wish.

Your comments would be appreciated on any aspect of primary school development plans, or of the planning process in the past, present or future.

The project will be producing an information sheet from time to time.
Please tick if you would like to receive the initial issue

☐

GENERAL NOTES accompanying each question

- 1 - 3. These will assist in clarifying whether there are significant variations in the responses from across the locations, types and sizes of Authority. Where the term "Primary School" is used, please include all LEA schools with children aged from 3 to 11. Schools that have received the Secretary of State's approval to change to GMS status should be excluded.
4. The use of the term "policy" here is intended to include written guidelines and strategies supported by Chief Officers, rather than relating only to policies that have been formally agreed by Elected Members of Authority Committees.
5. If your LEA gives guidance about developing particular areas of content, the following sub-headings are examples of the management issues that we anticipate under each heading :

Curriculum

Teaching and learning styles; Curriculum materials and resources;
Assessment, recording and reporting; Special Educational Needs;
Policies, e.g. equal opportunities; Continuity between phases

Staff

INSET; management development; Governor development.

Finance

Budget; LMS; management of resources.

Organisation

Administration; system development.

Premises

School environment; sites and buildings

Context

Internal - ethos ; climate ;
External - Links with parents, community, governors, local and national government.
Communications; involvement; participation.

6. You may wish to comment on the nature of the involvement in planning that is expected of various roles when completing question 10
- 7 & 8. The answers should relate to the processes in operation for the school or financial years 1991-2. If there is a return (e.g. for staff development/GEST bidding) which is *distinct* from the school development plan but performs a similar function, please include this.
9. If such materials are currently being prepared, we would be interested to receive a copy when it is available.
10. The purpose of this section is to provide an opportunity for you to both comment and to include ideas that you consider might be worth further exploration by the project.

For example, you might wish to comment on questions such as

Is a school's approach to the planning process an indicator of that school's management capability?, or
Should SD planning processes be linked at all with appraisal processes?

Thank you for your help with this. We look forward to hearing from you in the near future.

Appendix E

**Interview schedule used with the officers and inspectors in the
three LEAs with ESRC Project schools (chapter 7)**

ESRC Project : Impact of School Development Planning in Primary Schools

Form 5.1.c

LEA / school / officer

1.7.93

Purpose : to gather further information about the views of LEAs
that have project schools in their areas

1. BACKGROUND

1.1 What is your role?

1.2 When were you appointed to this role?

1.3 How long have you worked for this LEA?

1.4 What is the LEA's policy about school development
planning in primary schools?

1.4.1 Has this policy changed in the last year?

1.4.2 If so, why?
(prompt : national or local influences?)

1.4.3 How?
(prompt : plan/process; full plan/priorities to LEA; who involved?)

ESRC Project : Impact of School Development Planning In Primary Schools

Form 5.1.c

LEA / school / officer

1.7.93

1.5 How has the practice of development planning in primary schools changed in the last year?

1.6 Have you experienced development planning in other types of school?
prompt : contrasting primary, secondary, special?

1.7 Have you experienced development planning in any other context?
*prompt : business planning;
church or other community organisations*

ESRC Project : Impact of School Development Planning in Primary Schools

Form 5.1.d

LEA / school / officer

1.7.93

2. CURRENT PRACTICE

2.1 Do you have an interest in particular schools in the LEA?

prompt : as an officer or inspector?

2.2 How well do you know this school?

premises *prompt : have visited the school within the last year*

staff *prompt : know the Head and staff*

data *prompt : have access to data about the school*

plan *prompt : have access to the development plan*

3. SCHOOL DEVELOPMENT PLANNING : FORMULATING THE PLAN

3.1 What do you consider is the purpose of a school development plan?

3.2. What do you consider is the governors' role in the formulation stage of a development plan?

(prompts : considerable > depends on the quality of the Head > little role.)

3.3. What is the role of the Head at the formulation stage?

(prompt : management ; leadership?)

ESRC Project : Impact of School Development Planning in Primary Schools

Form 5.1.d

LEA / school / officer

1.7.93

3.4 Who else has a role in formulating the development plan?

Deputy Head,
parents,
pupils,

teaching staff,
LEA inspector/adviser,
other,

non-teaching staff,
LEA officer,
none

3.5 How far have you been involved in formulating the plans in this school?
(prompt : highly involved > involved > informed > ignored > rejected)

3.6 Is there a formal requirement for the plan to be submitted to the LEA?

3.6.1 If not, did you see the completed written plan?

3.6.2 If so, what was your reaction?
(prompt : supportive > critical)

3.6.3 Was it necessary for you to take any action after seeing the plan?

ESRC Project : Impact of School Development Planning In Primary Schools

Form 5.1.d

LEA / school / officer

1.7.93

4. IMPLEMENTING THE PLAN

4.1 Do you know what the current priorities are in this school?

4.2 What do you consider is the role of governors in implementing the plan?
*(prompt : direct involvement > delegate to Head & professional staff >
monitor progress > receive reports of progress > no involvement)*

4.3 Have you or any LEA colleagues been involved in implementing the plan?

4.3.1 If so, how?
(prompt : working group?)

4.3.2 If not, would you like to have been?

4.4 What is the role of the Head in development planning?
(prompt : management ; leadership?)

4.5 Who else has a role in implementing the development plan?

Deputy Head,
parents,
pupils,

teaching staff,
LEA inspector/adviser,
other,

non-teaching staff,
LEA officer,
none

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Form 5.1.d

LEA / school / officer

1.7.93

- 4.6** Do you know whether financial and other resources have been allocated for implementing the plan?

(prompt : probe GEST , other £ & time)

- 4.7** If so, who took the decisions -

governors? and/or Head ? or Head + teachers? LEA influence?

5. EVALUATING THE PLAN

- 5.1** Have there been any significant changes in the way this school approaches development planning in this school year as compared with last school year?

prompt : curriculum; staff development; finance; organisation; premises; context.

- 5.2** How is the LEA monitoring the implementation of the plan?

prompt : plan / planning process

- 5.3** How will the LEA evaluate any outcomes?

prompt : link with inspection processes?

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6. GENERAL COMMENTS ON SCHOOL DEVELOPMENT PLANNING

6.1 What difference, if any, has development planning made to this school?
(prompt : examples of content, process or outcomes not already mentioned)

6.2 Are there any links between school development planning and LEA development planning?
*(prompts : processes / time scales
content : budget / premises / staffing)*

Note to interviewer :

6.3 Any issues arising from previous enquiry form or guidelines?

Appendix F

**Background Paper describing the project, published in “Unicorn”
the Journal of the Australian College of Education, June 1992.
Contributed to the project and edited by the team**







